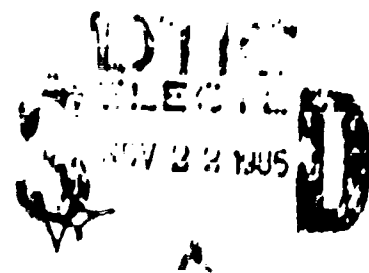
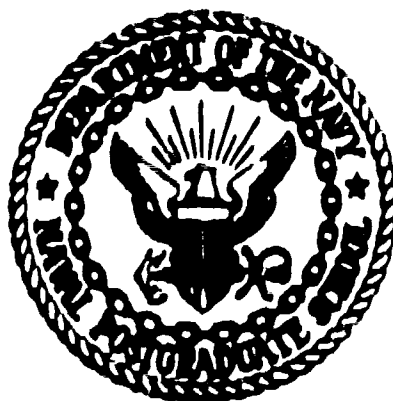


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NAVAL POSTGRADUATE SCHOOL
Monterey, California



THESIS

AN ORGANIZATIONAL DEVELOPMENT HANDBOOK

by

Deborah Anne Geller

September 1985

Thesis Advisor

Richard McGonigal

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by

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Lieutenant, United States Navy
B.S., Southern Connecticut University, 1976

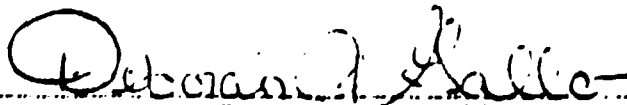
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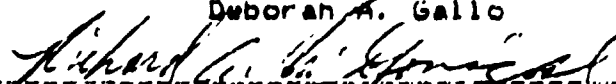
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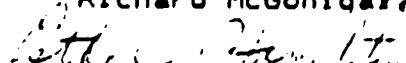
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ABSTRACT

This thesis is a compendium of some of the theories, models, and tools of Organizational Development (OD) and serves as a guide for the author. It represents the current state in the author's quest to apply these theories to the Navy's environment and operational commitments.

This OD Handbook starts with a definition and purpose of OD. A list of consultant competencies and behaviors are then generated along with marketing techniques and consultant ethics. Diagnostic models to assist in analysis of the organization are presented. "Consultant Tools" are discussed in terms of transition workshop, hints on data gathering and feedback, strategic planning packages, guidance on contracting, and the stages of group development.

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I. INTRODUCTION

There exists an overwhelming amount of material written about Organizational Development (OD). Well-known and respected individuals can not agree on a definition of OD. Needless to say, there is also a vast disparity among OD theories, techniques, and approaches. Therefore, it is not difficult to imagine the confusion felt by a student of OD.

This handbook came into being as the result of such confusion. Its creation was inspired by an overwhelming need for answers to questions about OD. It is the author's attempt to find out where and how she fits into the discipline. It is her attempt to discover how she can participate in Organizational Development.

This handbook is a synthesis of what the author can, with emotional and intellectual honesty, accept about the legitimacy of OD in the Navy. It represents the assimilation of some knowledge about OD. It is a statement of personal commitment.

II. WHAT IS ORGANIZATIONAL DEVELOPMENT?

Many people disagree on the answer to the above question. The Organizational Development (OD) practitioner or consultant must sift through the differing philosophies to find a definition which most closely matches their own sense about OD. For that reason, Richard Beckhard's definition was selected for this handbook.

Beckhard combined the philosophies of process and expert consultation. Briefly, process consultation is when the OD consultant assists and allows the client to discover his own answers of solutions to problems. The expert (by virtue of experience and skills) consultant tells the client how to solve the problem.

Richard Beckhard defined Organizational Development as "a planned effort, organization-wide, and managed from the top to increase organization effectiveness and health through planned interventions in the organization's processes," using behavioral-science knowledge." [Ref. 1:p. 9]

It is a planned change effort. "An OD program involves a systematic diagnosis of the organization, the development of a strategic plan for improvement, and the mobilization of resources to carry out the effort." [Ref. 1:p. 9]

It involves the total "system." "An OD effort is related to a total organization change, such as a change in

the culture or the reward systems or the total managerial strategy. . . .the "system" to be changed is a total, relatively autonomous organization." [Ref. 1:p. 10]

It is managed from the top. "Top management has a personal investment in the OD program and its outcomes. . . .they must have both knowledge and commitment to the goals of the program and must actively support the methods used to achieve the goals." [Ref. 1:p. 10]

Beckhard's description is obviously not in full array within the Navy's structure. Too often it is "bubble up" rather than "trickle down" as far as the initiative of OD efforts. The author is committed to Beckhard's strategy of defining the present and desired states of the organization and then specifying the transition state which will be necessary for organizational change.

Process consultants and expert consultants may assist with portions of the overall change effort. Beckhard's model for an OD consultant is obviously neither of the above, yet more than both. The author considers it a major goal to seek out the legitimate and useful role of the consultant.

It seems appropriate to pose a prior question: why even consider Organizational Development?

III. WHY ORGANIZATIONAL DEVELOPMENT?

The author has been asking this very basic question of faculty and theorists. Why even presume to undertake an organizational change effort? Why, and under what conditions, should OD be utilized? There remains yet another, more difficult task. This is the task of convincing the manager that he or she will benefit from an OD effort.

Richard Beckhard [Ref. 1:pp. 16-19] succinctly lists the following situations or conditions which call for OD efforts (i.e., which seem to be legitimate conditions):

- * The need exists to change a managerial strategy.
- * There is a need to make the organization climate more consistent with both individual needs and the changing needs of the environment.
- * The need exists to change "cultural" norms.
- * The need exists to change structure and roles.
- * The need exists to improve intergroup collaboration.
- * There is a need to open up the communications system (in terms of communication structure and the quality of communication).
- * The need exists for better planning.
- * The need exists for coping with problems of merger.
- * The need exists for change in motivation of the work force.
- * There is a need for adaptation to a new environment.

All of these conditions require a felt need on the part of the client. While progress has been made with the Navy's organizational effectiveness system, it is not altogether clear that clients are fully conscious of such needs. The author thus notes in passing that one must wrestle with this issue in OD planning.

It would seem presumptuous and futile if the consultant proceeded ahead of the client who does not yet feel a strong need for change. The author feels that much negativity can be generated by offers to assist those who as yet see no need to be assisted.

IV. CONSULTANT COMPETENCIES

The consultant--the human being who does approach a client organization and seeks to intervene in its life--must be able to demonstrate certain skills and competencies if he or she can be said to be an OD consultant. For the past forty years, many subjective comments have been offered about such competencies.

One of the most rigorous attempts to delineate these competencies was made by McBer and Company, with both Army Organizational Effectiveness Officers and Navy OD consultants as well as a review of available literature [Ref. 2; pp. 19-33]. This study built on earlier efforts by NVRDC and Systems Development Corporation (SDC).

The McBer study describes the following skills and competencies based on literature review:

1. A consultant should possess rapport-building skills.
 - A consultant should be able to identify intellectually with another's feelings (Empathy).
 - A consultant should be friendly, yet not get too involved (Nonpossessive warmth).
 - A consultant should always be natural and honest (Genuineness).
2. A consultant must have the ability to remain neutral. It is important not to get caught in emotional traps. (Emotional Self-Control)
 - A consultant must practice self-discipline and be able to maintain a rational and emotional balance.
 - A consultant must know and be aware of one's own self, excitement level, attention, anger, anxiety, etc.

3. A consultant must be well versed in diagnostic and analytical skills.

- A knowledge of the OP discipline (intervention techniques and theories) is essential.
- An understanding of organizations and how they work is vital. This must include analysis of systems.

4. A consultant must possess influence skills.

- A consultant must be able to motivate others, implement action plans, use feedback, contract, negotiate, and get goals.
- A consultant must think in terms of results.
- Above all, the consultant must be flexible.

5. A consultant should also be competent in administrative and managerial skills.

- A consultant should be able to plan and organize projects and manage the funds, the participants, and the materials involved in complex schedules.
- A consultant must be able to manage group process.
- A consultant should be able to work effectively in teams.

By use of critical incidents, McHerr and Company were able to identify and quantify what skills and competencies were actually used in the consulting process.

The following is a summary of the empirical competencies:

<u>COMPETENCY CLUSTER</u>	<u>INDICATORS</u>
(1) <u>Functional Knowledge</u>	
a. Knowledge of organization effectiveness theory	<ul style="list-style-type: none">• Mentions specific theoretical references• Uses established theoretical concepts
b. Knowledge of the client system as an organization	<ul style="list-style-type: none">• Mentions formal organization hierarchy of client• States functions or operations of client system

- * Identifies people who are functionally responsible for handling key issues

(2) Strong Self-Concept

a. Self-confidence

- * Compares self favorably to others
- * Interacts with superiors as an equal
- * Sees self as "origin," one who makes things happen
- * Describes self as an expert

b. Low fear of rejection

- * Explicitly disagrees with superior/client on significant issues
- * Lays down ground rules for own/others' involvement

c. Exercises restraint

- * Does not get personally involved with client when asked to do so
- * Controls impulsive behavior or remarks

d. Perceptual objectivity

- * Explicitly articulates both sides of an issue
- * Acknowledges legitimacy of viewpoint opposite to one's own

e. Accepts responsibility for failure

- * Mentions own possible role in a failure, while explicitly absolving others
- * Critically evaluates own role behavior
- * Explicitly accepts responsibility for failure

(3) Professional Self-Image

- | | |
|--|--|
| a. Sees self as substantive expert | <ul style="list-style-type: none">* Writes cases, reports, articles, etc.* Presents self to others as a resource* Makes substantive (rather than process) recommendations/observations |
| b. Understands and works to overcome the limits of own expertise | <ul style="list-style-type: none">* Anticipates and uses other's experiences to prepare for difficult situations* Calls in colleagues for critique or augmentation of own plan* Recognizes and asks for help from people in organization |
| c. Develops others | <ul style="list-style-type: none">* Works directly to develop a new skill in the client* Has others practice the role of consultant* Gives others coaching on particular activity |

(4) Develops Common Understanding

- | | |
|------------------------|---|
| a. Concern for clarity | <ul style="list-style-type: none">* States expectations for others' performance or role* Asks questions to clarify ambiguities* Cites need for specification and concrete documentation |
| b. Values client input | <ul style="list-style-type: none">* Involves client actively in design or leadership of intervention activities |

- Consults client before taking action, in absence of political motivation
- c. Establishes professional rapport
 - * Able to get client to open up and talk about serious issues
 - * Provides evidence of client acceptance
 - d. Surfaces and discusses key concerns
 - * Raises and discusses a specific problem area with client (e.g., confidentiality)
 - * Re-contracts with client
- (5) Personal Influence
- a. Concern for impact
 - * Expresses desire to control behavior of others
 - * Offers unsolicited help
 - * Thinks about having a high personal impact
 - b. Use of unilateral power
 - * Tells others to control resources
 - * Tells others to get to work and not spend time on details
 - * Takes control of meeting, and insists upon following design and/or initial objectives
 - c. Creates positive image
 - * Documents and publicizes successes
 - * Cites own reputation as reason for requests for work
 - * Takes action to create a positive impression

d. Uses interpersonal influence strategies

e. Understands own impact on others

f. Oral and written presentation skills

(6) Diagnostic Skills

a. Obtains multiple perspectives on situations/problems

b. Diagnostic use of concepts

c. Uses metaphors and analogies

* Co-opts others

* Takes action to persuade others, resulting in a desired change in their response

* States how others view him or her in specific situation

* Understands own value as a stimulus or symbol

* Has crisp, articulate, unhesitant verbal style

* Gives evidence of having written clear, understandable reports or briefings

* Asks for help, opinion, advice of another professional about a particular problem

* Collects information from people with potentially or actually different perspectives on an issue

* Sees situation in terms of mentally manipulable concepts

* States an existing theory, principle, or rule of thumb to explain a situation

* Uses concrete analogies to explain a complicated situation in simple terms

* Uses vivid metaphors to sum up events

d. Rapid pattern
recognition

- * Notes a set of behaviors and conceptualizes it in on-line situations
- * Generates nontrivial thematic summary of situations or individuals from minimal interactions

(7) Tactical Planning

a. Cause-and-effect
thinking

- * Provides a series of inferential "if x, then y" statements

- * States implications of actions or situations

b. Identifies key themes
in data

- * Provides thematic summary of complex series of events, tasks, or activities

- * Identifies some individual or attribute of an individual as source of problem

- * Engages in vigorous data reduction activity

c. Identifies and uses
influence patterns

- * Identifies influential others and seeks their support

- * Builds his/her credibility before seeking alliances

- * States political rationale for particular behavior or action

d. Accurately gauges the
reactions of others

- * Selects specific issues, data, etc., to capture the attention of others

- * Modifies behavior as the result of interpersonal perceptions and obtains desired results

- * Uses advance intelligence about someone to guide interactions with him/her

(8) Tactical Flexibility

a. Assumes and differentiates among multiple roles

- * Describes shift in own role over the course of an interaction
- * Attempts to set up multiple roles to legitimize a variety of activities
- * Specifically adopts an alternative role to meet demands of others

b. Responds consciously to client norms and expectations

- * Structures experiences to meet others' abilities, limitations, and/or needs
- * Uses FM standards to design and structure meetings so as to conform to client's expectations
- * Consciously adjusts language to fit with client language

c. Takes advantage of opportunities

- * Explicitly avoids use of social science jargon
- * Recognizes ongoing or upcoming activities which are opportunities for OE
- * Uses resources in multiple ways
- * Links OE to organizational mission or larger issues affecting the organization
- * Recognizes and incorporates useful people, ideas, and programs

d. Problem-focused
adaptation of techniques
and procedures

- * Designs/adapts techniques or procedures to respond to client's requests
- * Designs activities around the availability of people or resources
- * Modifies design to meet emergent needs or expectations of others

(9) Results and Orientation

a. Concern for measurable
outcomes

- * Describes outcomes in terms of concrete performance indicators or specific changes in work procedures
- * Describes specific milestones
- * Evaluates impact of an intervention
- * Seeks to institutionalize new process/procedure

b. Time consciousness

- * Explicitly mentions amount of time spent on activity
- * Expresses concern over wasted time

V. CONSULTANT ETHICS

Perhaps, as with every young profession, it takes time to generate norms and procedures which are accepted by the majority of professionals and recipients of the professionals' labors. More attention has been paid to accreditation of OD consultants than to norms or acceptable practices.

At this stage in the author's development, she would simply like to suggest the following code of conduct. These thoughts are expressed by Lippitt [Ref. 3:pp. 64-65].

A. RESPONSIBILITY

The consultant:

- 1) Places high value on objectivity and integrity and maintains the highest standards of service.
- 2) Plans work in a way that minimizes the possibility that findings will be misleading.

B. COMPETENCE

The consultant:

- 1) Maintains high standards of professional competence as a responsibility to the public and to the profession.
- 2) Recognizes the boundaries of his or her competence and does not offer services that fail to meet professional standards.
- 3) Assists clients in obtaining professional help for aspects of the project that fall outside the boundaries of his or her own competence.

- 4) Refrains from undertaking any activity in which his or her personal problems are likely to result in inferior professional service or harm to the client.

C. MORAL AND LEGAL STANDARDS

The consultant shows sensible regard for the social codes and moral expectations of the community in which he or she works.

D. MISREPRESENTATION

The consultant avoids misrepresentation of his or her own professional qualifications, affiliations, and purposes and those of the organization with which he or she is associated.

E. CONFIDENTIALITY

The consultant:

- 1) Reveals information received in confidence only to the client and other persons as designated by the client.
- 2) Maintains confidentiality of professional communications about individuals.
- 3) Contracts with the client as to whom information will be revealed.
- 4) Maintains confidentiality in preservation and disposition of records.

F. CLIENT WELFARE

The consultant:

- 1) Defines the nature of his or her loyalties and responsibilities in possible conflicts of interest, such as between the client and the employer of the consultant, and keeps all concerned parties informed of these commitments.

- 2) Attempts to terminate a consulting relationship when it is reasonably clear that the client is not benefiting from it.
- 3) Continues being responsible for the welfare of the client, in cases involving referral, until the responsibility is assumed by the professional to whom the client is referred or until the relationship with the client has been terminated by agreement.

G. SUMMARY

The following anonymous words provide sound and practical advice or guidance for the OD consultant:

Do thy client no harm.

Start where the system is and work from there.

Understand the organization as well as you possibly can.

Diagnose carefully before you prescribe.

Get the power people committed to the process.

Relieve pain where possible.

If something ain't broke, don't try to fix it.

Have a bag a tricks; tailor the solution to the problem.

Don't work uphill, share ownership of the solutions with the people who must make them work.

Stay alive; don't get killed fighting for causes.

Author Unknown

VI. CONSULTANT HEALTH

It is essential that a consultant be physically, emotionally, and mentally fit. The work done by a consultant is intellectually and mentally demanding and requires intense concentration. Such concentration can be physically exhausting. Therefore, the old cliché "eat a balanced diet, exercise regularly, and get a good night's sleep" is most appropriate.

A consultant must be "in touch" with one's self. This requires a great deal of introspection which may result in a reorientation of one's values. It is important for the consultant to keep in mind that one's partner and family are not experiencing this value reassessment. By keeping that in mind, the consultant can avoid and alleviate family tension and the problems it can cause.

A checklist is provided in Table I so that the consultant can monitor his or her own level of stress and health. After all, how can a consultant positively affect an organization's health, if their own needs work!

The number of checks that may be considered unhealthy will depend on the combinations of "Cs", "Fs", and "Os". More than three "Cs" and "Fs" may be an indication that one is succumbing to stress and may be heading for a serious

TABLE I
STRESS SYMPTOM CHECKLIST
[Ref. 4:pp. 37-38]

Mark the frequency with which you have experienced these during the past two months:

X = Haven't had this problem at all
C = Constant or nearly constant
F = Frequently
O = Occasionally

1. Tension headache	___	20. Irritability	___
2. Sleep-onset insomnia	___	21. Fatigue	___
3. Migraine headaches	___	22. Overeating	___
4. Early Morning awakening	___	23. Loss of appetite	___
5. Constipation	___	24. Diarrhea	___
6. Lower back pain	___	25. Angry feelings	___
7. Allergy problems	___	26. Asthma attack	___
8. Nervousness	___	27. Colitis attack	___
9. Nightmares	___	28. Depression	___
10. High Blood pressure	___	29. Arthritis	___
11. Hives	___	30. Flu or cold	___
12. Alcohol/Nondescription drug consumption	___	31. Minor accidents	___
13. Low grade infections	___	32. Prescription drug use	___
14. Stomach indigestion	___	33. Cold hands/feet	___
15. Hyperventilation	___	34. Dermatitis	___
16. Worrisome thoughts	___	35. Sexual problems	___
17. Heart palpitations	___	36. Peptic Ulcer	___
18. Menstrual distress	___	37. Aching neck/shoulder muscles	___
19. Nausea or vomiting	___	38. Other	___

illness. Three "Fs" and "Os" could be considered normal.

If in doubt, one should consult a physician.

How to cope? The obvious answer is to get plenty of rest. Regular exercise is extremely beneficial when one is coping with stress. The author has found that a hot bath and a good book work wonders.

VII. MARKETING THE OD PHILOSOPHY

Among other things, the OD consultant must be a salesperson. The consultant must convince a potential client that his organization will benefit from OD. Once that is accomplished, the consultant "sells" a specific intervention (ex. transition workshop, general assessment).

A. TRAITS OF A GOOD SALESPERSON

People often wonder what it is that makes a good salesperson. Some individuals are natural salespeople while others need to work hard to make a sale. The following are some of the traits of a good salesperson: [Ref. 5: p. 56]

- * "Good salespeople always ask for the sale and poor salespeople don't."
- * "Good salespeople are looking for commitment from the client."
- * "Great salespeople almost never argue."

B. SELLING TIPS

All salespeople possess certain "tricks of the trade" or techniques. Here are just a few: [Ref. 6: pp. 21-100]

- * "Selling is the art of asking the right questions or yeses that allow you to lead your prospect to the major decision and the major yes."
- * Never ask a question to which the response can be a "no."
- * "Don't sell what you want, sell what they need."

- "Sell to the people who can buy."
- "Positive emotions trigger sales; negative emotions destroys sales."
- Meet all qualified, interested callers in person.
- Reconfirm appointments.

It is, at least from the author's perspective, easier to sell OD in the civilian community than in the military environment. Bringing in management consultants seems to be the trendy and accepted thing to do in the business world. This is not the case in the Navy.

A majority of military training perpetuates the notion that "asking for assistance" is a sign of weakness. In other words, good leaders/managers are self-sufficient. The author believes that self-sufficiency is an important characteristic when tempered with common sense. She feels that a strong leader knows when to ask for assistance to solve a problem, correct a deficiency or to make a good organization better and stronger.

The marketing/sales challenge in the Navy is to convince leaders and managers that OD is positive and beneficial and that utilizing it is not a sign of failure. This is one of the challenges to which the author will direct her thoughts and energies.

The above thoughts are but a portion of the dilemma which faces the OD consultant in the Navy. For once the consultant has convinced the manager to utilize OD, there

remains the task of establishing the boundaries and guidelines of the working relationship. The author feels that this contracting phase represents as great a challenge to the Navy consultant. Contracting requires openness, honesty, and trust on the parts of the consultant and client. The author feels that achieving openness, honesty, and trust may be difficult until the stigma of asking for help--or OD in the Navy--disappears. Some thoughts on contracting follow.

VIII. CONTRACTING

One of the most important aspects of a consultant/client relationship is the contract. This mutually derived agreement establishes the guidelines for their professional relationship. It is vital that the participants be open and honest, and "lay the cards on the table", so to speak, during this phase.

A. GROUND RULES FOR CONTRACTING [Ref. 7:pp. 52-53]

The following are points which the consultant should keep in mind when formulating a contract with a client:

1. The responsibility for every relationship is 50/50. There are two sides to every story. There must be symmetry or the relationship will collapse. The contract has to be 50/50.
2. The contract should be freely entered.
3. You can't get something for nothing. There must be consideration from both sides, even in a boss-subordinate relationship.
4. All wants are legitimate. To want is a birthright. You can't say, "You shouldn't want that."
5. You can say no to what others want from you. Even clients.
6. You don't always get what you want. And you'll still keep breathing. You will still survive, you will still have more clients in the future.
7. You can contract for behavior, you can't contract for the other person to change their feelings.
8. You can't ask for something the other person doesn't have.

9. You can't promise something you don't have to deliver.
10. You can't contract with someone who's not in the room, such as clients' bosses and subordinates. You have to meet with them directly to know you have an agreement with them.
11. Write down contracts when you can. Most are broken out of neglect, not intent.
12. Social contracts are always renegotiable. If someone wants to renegotiate a contract in midstream, be grateful that they are telling you and not just doing it without a word.
13. Contracts require specific time deadlines or duration.
14. Good contracts require good faith and often accidental good fortune.

B. ELEMENTS OF A CONTRACT [Ref. 7:pp. 46-51]

The following elements should be covered in most contracts:

1. A statement on the boundaries of your analysis.
2. Objectives of the project.
3. The kind of information you seek.
 - technical data
 - attitudes of people
 - roles and responsibilities
4. Consultant's role in project.
5. The product that will be delivered.
 - specific or general recommendations
 - oral or written report
6. What support and involvement you need from the client
7. Time schedule
8. Confidentiality

IX. DIAGNOSTIC MODELS

The purpose of a diagnostic model is to assist the consultant in the analysis or assessment of an organization.

An organization should not be made to fit into a particular model. Rather, a model or pieces from different models should be selected because they are suited to a particular organization. It is important for the consultant to understand that a model (or models) does not have to be followed in its entirety.

The author, through actual use or research, has been exposed to the following models: Seven S (Peters and Waterman); Congruence Model (Nadler and Tushman); Six-Box Model (Weisbord); Organization System (Kast and Rosenzweig); Social Network Perspective (Tichy); Basic Systems Model (Szilagyi and Wallace). At this point in her education and experience, she can identify with three of the above.

These three, (Seven S, Congruence, and Six-Box), most closely match the author's sense of how an organization works. They also allow for flexibility in analysis or diagnosis of an organization. Therefore, these models are included in this handbook.

A. SEVEN-S MODEL

Peters, Waterman and Phillips "claim [Ref. 8:pp. 14-26] that organizational effectiveness stems from the interaction

of several factors. Effective organizational change is really the relationship between structure, strategy, systems, style, skills, staff, and superordinate goals."

Strategy -- Actions planned in response to or anticipation of changes in external environment.

Structure -- Basis for specialization and coordination

Systems -- Formal and informal procedures that support the strategy and structure.

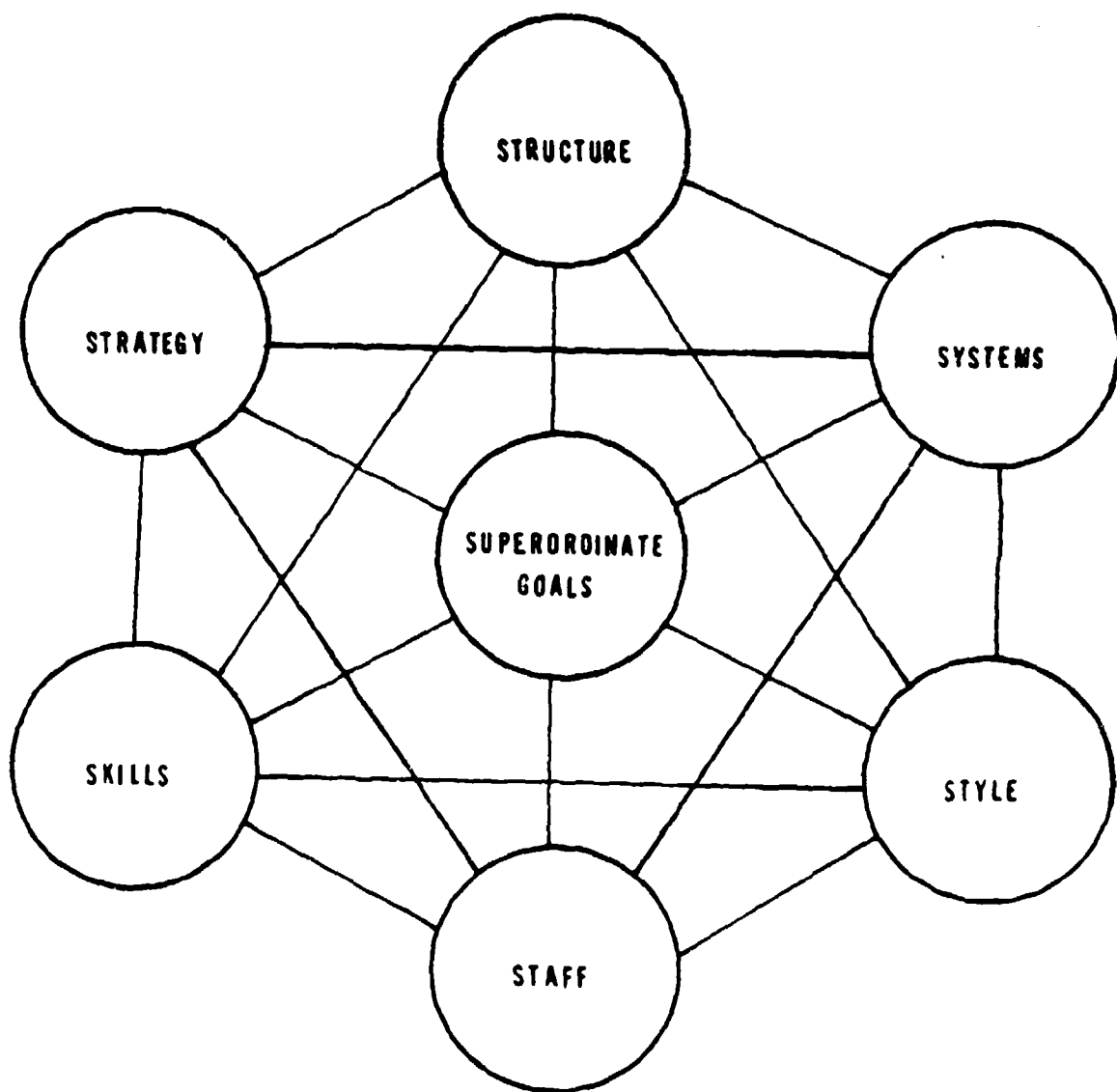
Style -- The manner in which people interact as well as how people are managed.

Skills -- Distinctive competencies, what the organization does best.

Superordinate Goals -- Guiding concepts, fundamental ideas around which an organization is built.

Aside from the fact virtually every manager in the Navy has read In Search of Excellence ("so how can a model from Peters and Waterman go wrong!"), the author feels it is a basically sound model. Its elements are logical and include all portions of an organization. Most importantly, it allows room for individual consultant's interpretation. It also is flexible and can be adapted to fit most organizations.

The Seven S model is useful in both diagnosing organizational problems or concerns and in formulating programs for improvement. The central idea of the model is that organizational effectiveness stems from the interaction of several factors (the seven S's). The framework conveys several important ideas.



SEVEN S MODEL

PETERS & WATERMAN

Fig. 1 Seven S Model

First is the idea of the myriad of factors that influence an organization's ability to change. Second, the notion of interconnectedness of the variables (attention or change directed at one area will impact the other areas). Finally, the shape of the framework is significant. It has no starting point or implied hierarchy. The model can be viewed as a set of compasses. When all seven needles are pointing in the same direction, the organization is effective. [Ref. 8:pp. 17-26]

The framework or model can be used as a checklist to design a comprehensive change program. At the most basic level, it can be used as an aid in collecting and organizing data. It can assist in understanding how an organization operates. The model also suggests "taking seriously the variables that have been considered soft, informal or beneath the purview of top management interest. Style, systems, skills, superordinate goals are as important as strategy and structure and are almost critical for achieving necessary, or desired change. The pace of real change is geared to all seven S's. The framework forces concentration on interactions and fit." [Ref. 8:p. 26]

B. "A CONGRUENCE MODEL FOR ORGANIZATION ANALYSIS" BY DAVID A. NADLER AND MICHAEL T. TUSHMAN [Refs. 9 and 10]

This model provides a means for organizational problem analysis and assessment. It is based on the hypothesis that the greater the total degree of congruence or fit between

the various components, the more effective will be the organization. This hypothesis implies that diagnosis involves description of the system, identification of problems, and analysis of fits to determine the causes of problems. Also implied, is that different configurations of the key components be analyzed.

The following are steps for using the congruence model:

1. Identify Symptoms (list data which indicates the existence of a problem).
2. Analyze Inputs (collect data about the environment, organization's resources, and history. Also, identify the overall strategy--core mission and objectives).
3. Analyze Outputs at the individual, group, and organizational levels. Identify the desired output as well as the actual.
4. Identify Problems (areas where there exists a significant difference between desired and actual outputs).
5. Collect Data about the four major organizational components--task, informal organization, formal organization, and the individual.
6. Assess Congruence among all possible combinations of the major components. Congruence or fit is defined as the degree to which the needs, demands, goals, objectives, and structure of one component are consistent with those of another component.
7. Generate hypothesis about problem causes. Linking step 6 with step 4, identify which "poor fits" may account for various problems.
8. Identify Action Steps.

Inputs

Environment (external organizations, relationships with parent command).

Resources (people, technology, physical property).

History (plans, policies, precedents, tradition, myth, image, goals).

Strategy (resource utilization, strategic planning, organization-environment interface).

Major Components

Task (jobs, work, training, skills, information to perform task).

Individuals (people, qualifications).

Organizational Arrangements - Formal (structure).

Informal Organizations (policies, social).

Outputs

Individual Behavior and Affect (performance, absenteeism, turnover, satisfaction, productivity).

Group Intergroup Behavior (performance cooperation, conflict, communication).

System Functioning (goal attainment, productivity, resource utilization).

Component Combinations

Individual - Organization Fit

Individual - Task Fit

Individual - Informal Organization Fit

Task - Organization Fit

Task - Informal Organization Fit

Organization - Informal Organization Fit

Component - Environment Fit

A CONGRUENCE MODEL OF ORGANIZATIONAL BEHAVIOR*

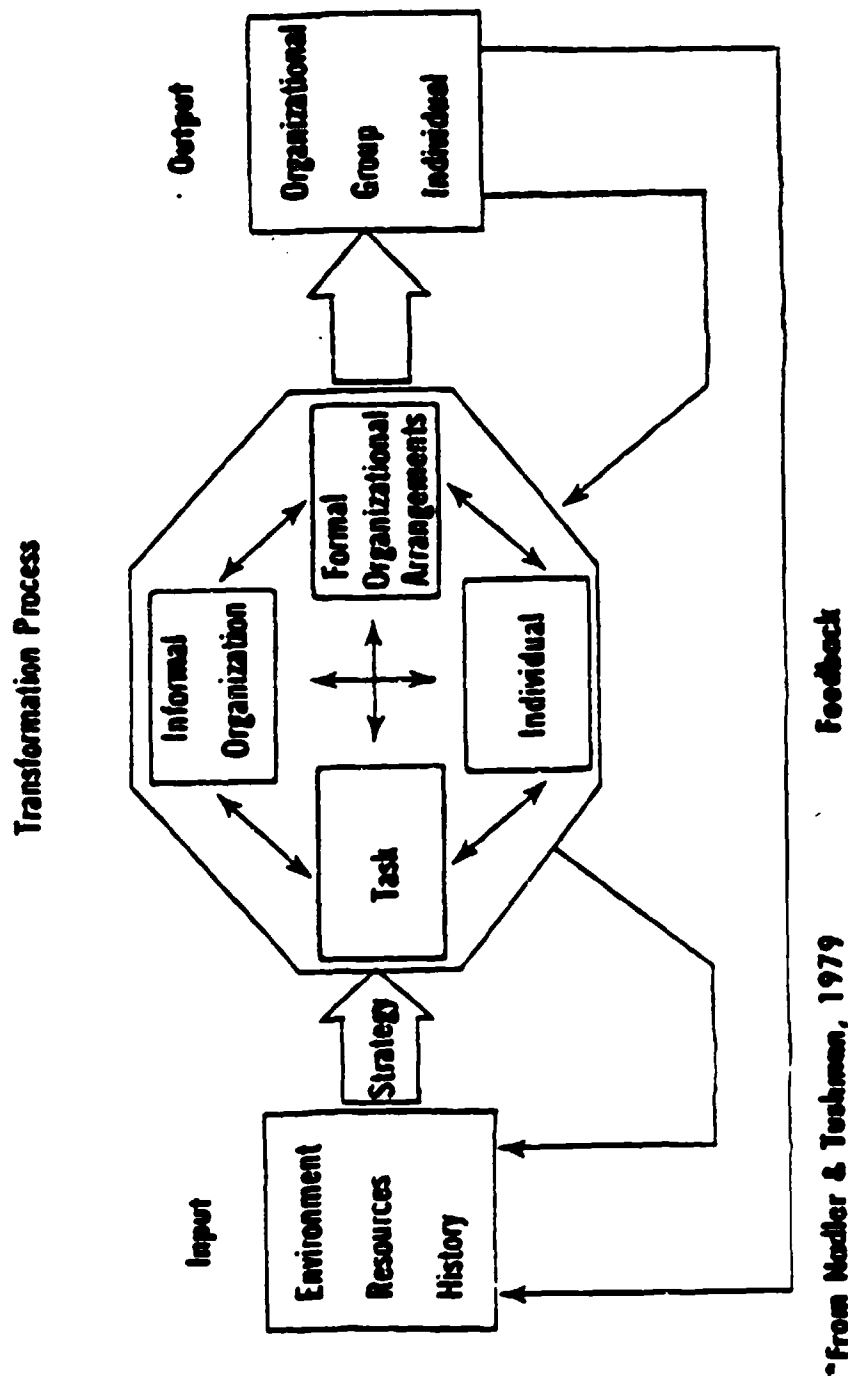


Fig. 2 A Congruence Model of Organizational Behavior

C. "THE SIX-BOX MODEL" BY MARVIN R. WEISBORD
[Refs. 11 and 12]

This model is concerned with the following elements of an organization:

Purpose (mission, objectives, goals, priorities, values, beliefs, satisfaction, competencies).

Structure (division of work, functions, organize, organization chart).

Relationships (conflict management, peer-boss-subordinate.)

Rewards (formal, informal, achievement).

Leadership (keeping the elements in balance).

Helpful Mechanisms (meetings, policies, coordination).

Environment (forces external to the organization difficult to control).

The author has used the Six-Box model to assist in the analysis of an organization. Data gathered from numerous interviews was categorized according to Weisbord's model. Strengths and weaknesses of each box or element were then examined. The balance or lack of balance among these strengths and weaknesses provided the basis for recommendations for future actions.

In one instance, the Six-Box model was used primarily as an organizing device. It allowed for logical organization of thoughts and data. It also facilitated the prioritization of recommendations. This model provides a strong foundation for assessing organizations. It is also useful as a "quick look" tool to determine one's strategy for dealing or working with an organization.

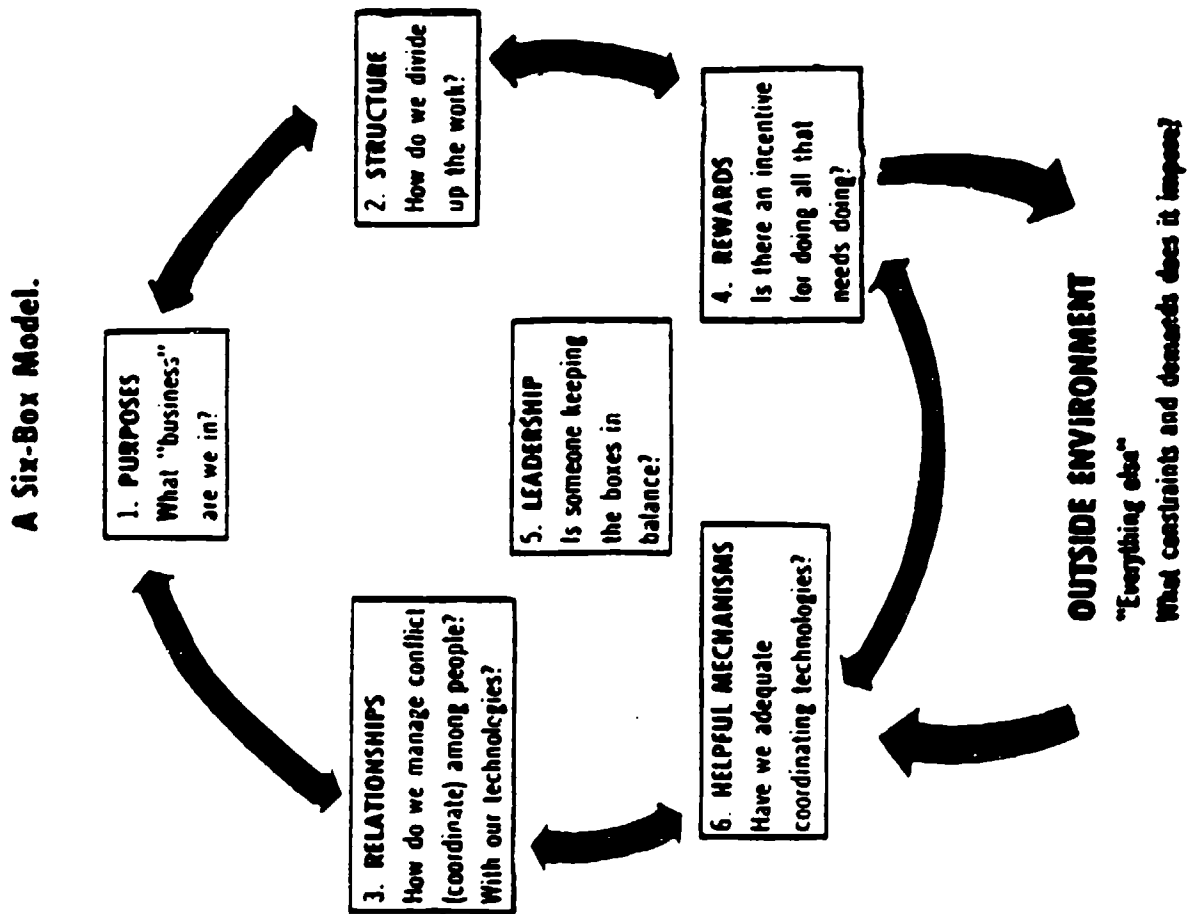


Fig. 3 A Six-Box Model

A case study, "CONSOLIDATED ADMINISTRATION AT 1ST TANK BATTALION" follows. It has been included so that the author of this handbook can illustrate the application of Weisbord's Six-Box Model. Also included is her analysis and diagnosis of the case as well as an outline of an implementation design.

CASE STUDY

CONSOLIDATED ADMINISTRATION AT 1ST TANK BATTALION [Ref. 13]

The battalion conference room had grown uncomfortably quiet. The only sound emanating from the room was the dull hum of the electric fan. Assembled within on that hot afternoon on July 15, 1977, were the six company commanders of 1st Tank Battalion and their 1st Sergeants. Seated along the opposite side of the table were the Personnel Officer, Personnel Chief, and the Battalion Adjutant/S-1 Officer. The Battalion Commanding Officer, Lieutenant Colonel (LTC) Butler, presided over a meeting that had gone from a polite discussion of current administrative policies to heated exchanges of accusations between company personnel and the battalion administration staff. After three hours of fruitless discussion, LTC Butler had reached the saturation point. He turned to the company commanders as a group and said, "I have heard complaints from both sides of the table this afternoon and it's the same argument I have heard in the past six months. The men of this battalion have demanding objectives and cannot be plagued by this consolidated administration issue. You all are hereby charged to formulate a sound, workable recommendation for the organization of personnel administration. Your conclusions will be reported to me one week from today."

Background

Located at Camp Las Flores, Camp Pendleton, California, the 1st Tank Battalion is the armor and anti-armor strength of the 1st Marine Division. As such, elements of the battalion are continuously involved in amphibious and

field gunnery exercises in support of the Division's three infantry regiments. The current personnel strength of the battalion is 49 officers and 949 enlisted. Tank Battalion is divided into one headquarters and service company (HQSVC), one anti-tank (TOW), and four tank companies.

Company Administration

Prior to the end of January 1977, each company performed all of its own general administration. The company administration section was composed of an admin chief (E-6)¹ and three clerks (E-2 through E-4). The company first sergeant (E-8), a formally trained administrative expert, oversaw the entire administration effort of the company; was the company contact for pay and promotion matters; and was the advisor to the company commander regarding enlisted affairs. Under the supervision of the first sergeant, the company administrative section was responsible for the five activities which are described below:

1) Daily submission of the unit diary report (UDR). The unit diary was the basic document that impacted on a Marine's pay and promotion. Inaccurate reporting produced a myriad of difficulties for the Marines. The UDR contained three columns: column 1 for name, column 2 for service number, and column 3 for remarks. A man was entered on the UDR for circumstances concerning:

- permanent change of station (PCS)
- temporary additional duty (TAD)
- unauthorized absence (UA)
- desertion
- leave
- separation from active duty
- receipt/stoppage of commuted rations (COMRATS)
- nonjudicial punishment (NJP)
- promotion/demotion

Each entry in the UDR had to be substantiated by reference documents such as copies of PCS or TAD orders, promotion warrants, marriage or birth certificates, and leave papers. These documents were filed in the Marine's personnel record.

¹The grades E-1 through E-8 are identifiers for the various enlisted ranks. E-1 corresponds to a private and E-8 corresponds to a master or first sergeant.

Each company submitted, on the average, a three to four page report daily, five days per week. Because the report was electronically scanned at a higher level, the UDR had to be essentially error free. An incorrect character assignment or improper format caused the scanner to reject the specific entry and require resubmission by the company. Each report was screened for such errors by the company administrator, first sergeant, and executive officer prior to submission to the company commander for his approval and signature. The UDR's were then gathered, but not reviewed, by the battalion administration officer. The original UDR was sent to the Administration Control Unit (ACU), Marine Corp Base, Camp Pendleton; one copy was sent to the local disbursing unit; the second copy to the Marine Disbursing Center, Kansas City, Missouri; and the third copy was placed in company files.

2) Maintenance and safeguard of the service record book (SRB) and officer qualification book (OQR). Although these two records vary somewhat in content, they possess basically the same information and are referred to as personnel records. The record contained the individual's enlistment contract; his proficiency and conduct marks (used in evaluating qualification for promotion); list of military and civilian schools attended; entries regarding awards or punishments; next of kin and insurance beneficiary; and required administrative entries. The personnel record contained all official information regarding the Marine. The source document for any changes to the personnel record was the UDR; the information had to be entered on the UDR prior to this record. The only exceptions were entries that served as official documentation in support of promotion, reduction, or discharge. For example:

12 Sep 77 Counseled this date on continued poor
 performance on the physical fitness test.

Such documentation served to broaden the scope of the personnel record by providing the reader with more insight into the individual's performance. Conversely, an incomplete record failed to accurately portray the Marine for better or for worse.

3) Issuance and safeguard of military identification (ID) cards and meal passes. Issued to every Marine from the first week of active duty, no document is as important to everyday activities as is the ID card. With promotion, the current ID card was exchanged for a new ID that exhibited a recent picture and current rank. The company executive officer was responsible for maintaining a number of serialized, blank cards in the company safe.

4) Maintenance of all orders and directives as required by Marine Corps order. Each company maintained its own set of required objectives and publications for reference by company personnel. The majority of daily messages included at least one reference to the directives and publications. Thus, a current set of directives was essential to ensure understanding and compliance with the messages. The set included not only Headquarters Marine Corps (HQMC) generated correspondence, but division and battalion level interpretation as well. The Manual for Courts-Martial and standing operational procedures for embarkation, training, maintenance, communication, and leadership were a part of this reference base. Each company received one to eight changes to the directives daily. This required a clerk to constantly insert these changes and/or make deletions to ensure the references reflected the most current orders and directives mandated by higher commands.

5) General administrative support. Daily correspondence, discharge packages, investigations, support requests, and other documents were also typed by the company clerk-typist.

Battalion Administration

Prior to consolidation, 1st Tank Battalion possessed an S-1 or admin office which acted as a central processor for all correspondence delivered to or originating from the battalion. The S-1 officer, 1LT Tubbs, had been in the position for four months of what was normally a twelve-month assignment. He was a tank officer by training and was serving in the assignment as an opportunity to enhance his career. The S-1 office performed some functions similar to those of the company admin office. For example, the S-1 maintained a correspondence file, a set of orders and directives, and provided clerical support to the battalion's intelligence operations and logistics offices. Additionally, LT Tubbs, with the assistance of his admin chief (E-7), ensured that:

- 1) all incoming messages and letters were routed to the appropriate addresses,
- 2) the classified material custodian maintained classified documents in accordance with military regulations,
- 3) all documents submitted for the battalion commander's signature were prepared according to the Naval Correspondence Manual.

However, this office did not issue ID cards, maintain personnel records, or prepare UDR's. The personnel and legal offices were organizationally within the S-1 office. The Personnel Officer, Warrant Officer Thomas, recommended and supervised all battalion personnel assignments and was the battalion disbursing officer. He had worked in the administration field for 10 of his 14 years of active duty. The Legal Officer, 1LT Guss, was responsible for scheduling battalion level nonjudicial punishment, offered quasi-legal advice to Marines, and maintained liaison with the local correctional facilities.

Impetus for Change

Since 1975, 1st Tank Battalion had experienced a continued loss of qualified administrative personnel without receiving formally trained replacements. As a result, company admin sections had to be augmented by Marines formally trained to be tank or TOW crewman. The crewman working in the company admin sections were referred to as augmentees. Although some augmentees were adequate clerk-typists, they were not occupying a position for which they had been formally trained. Promotions were based on demonstrated knowledge and proficiency in an individual's primary military occupational speciality (MOS) as tank or TOW crewmen. Therefore, the augmentee was at a disadvantage when competing for promotion with Marines who had remained in the crewman's billet. This necessitated a six month rotation of augmentees which helped prevent the loss of professional skills. However, the rotation impacted significantly on the efficiency of the administrative unit. No sooner had a Marine been thoroughly trained in his responsibilities in the company office than his six-month 'tour' was completed.

The shortage of qualified administrative personnel was not unique to 1st Tank Battalion, but was experienced by field units throughout the Marine Corps. Headquarters Marine Corps (HQMC) received reports that the general administrative posture of most field units was below acceptable standards. At the Commandant's direction, a special investigative board was established to examine the problem. Following lengthy study, the board recommended the consolidation of all company administrative functions at the battalion level. All responsibilities previously conducted at the company level were now to be performed at the battalion level. Formally trained admin personnel were to be assigned to a centralized personnel administration section. In essence, the company was to be out of the paperwork business.

The investigative board concluded that the centralization of all formally trained admin personnel at battalion level would enhance the administrative posture of field units. No longer would Marines have to be assigned as augmentees. An additional projected benefit would be improved unit readiness. With the elimination of the company admin section, the commanding and executive officers could devote considerably more energy toward operational training and thereby increase individual and unit combat proficiency.

Initially, a small number of battalions in the Marine Corps were selected to undertake the consolidation program on a three-month experimental basis. Following this three-month test all participants were inspected and queried. The results of the preliminary studies supported the concept in toto and Corps-wide implementation design.

Preparation for Consolidation

Because of his administrative expertise, Mr. Thomas was designated the consolidated administration project officer and eventually the officer in charge of the consolidated administration office. In early January 1977, officers and non commissioned officers (E-6 and above) were assembled in the battalion theater for a briefing on the pending move. All were given an overview of the Marine Corp's preliminary study and subsequent recommendations. The battalion commanding officer emphasized that the consolidation decision was HQMC-directed and that the new process "would work!" Mr. Thomas then presented the timetable for implementation and provided the following specifics:

- 1) On the designated date, all office equipment utilized by company admin personnel, including files and directives, would be transferred to the designated areas within the headquarters building.
- 2) That same day, the company's formally trained admin personnel would be transferred to headquarters platoon, HQSVC company. These men were required to take up residence in the HQSVC company barracks.
- 3) Each former company admin chief would assume responsibility for a particular section under the consolidation system. For example, SGT Wilkes of 'A' Company would become the personnel record section chief. These section chiefs would report directly to the consolidated admin chief who assisted Mr. Thomas.

4) The companies would relinquish preparation of the UDR to the consolidated section on the transfer day.

5) All in-bound message traffice would be posted on a battalion 'read board' that would be reviewed daily by all company commanders.

6) Personnel records could be 'checked out' during working hours by the company commander, executive officer, or first sergeant for such matters as screening personnel qualifications for promotion and nonjudicial punishment. Records would be officially 'logged out' by one of the admin section's clerks. If the company commander wished to have an entry placed in a record book, he would clip the specific entry on the record jacket and return it to the consolidated admin officer, admin chief, or the record clerk. This note would serve to alert the clerks of the personnel record section (Exhibit 5).

7) Two complete sets of directives and publications would be maintained by the battalion S-1. In the event of the deployment of a company-sized unit or larger, one set would be issued while the other would remain at battalion headquarters. Anyone in need of a particular reference could obtain a copy from the S-1 office with the proviso that the reference be returned the same day.

8) All typing would be performed by the battalion typing pool. Companies would forward a legible draft to the pool and the document would be prepared in order of its arrival.

9) While no battalion standing operational procedure had been written to assist the consolidation process, the battalion would utilize a guide established by the Corps' original investigative board.

Attitudes toward Consolidation

The concept of consolidation was received with mixed reactions at 1st Tank Battalion. The removal of all admin responsibility was appealing to the company commanders because more time would be made available for unit preparedness. Historically, approximately one-fourth of the Executive officer's time had been devoted to the company's administrative affairs; he was now freed from that 'arduous' task to concentrate on vehicle maintenance, embarkation, and assisting his commanding officer. The first sergeants, many of whom had spent considerable career time (10-20 years) in pursuit of rank and position as an administrator, tended to resent the consolidation program. Many felt a sacred trust

had been violated. The first sergeant's, with few exceptions, took considerable pride in the condition of 'their' company office, personnel records, and files. Competition for the best company office had always been particularly keen. Consolidation meant the elimination of practically all responsibilities traditionally associated with this position. Some responsibilities would be retained. The First Sergeant would remain chief advisor to the company commander regarding enlisted matters, continue to be counselor for the company's particularly unresponsive Marines, and continue to assist in the processing of men for non judicial punishment.

Without exception, company admin personnel did not want to become part of the consolidated administration program. For the most part, they shared their first sergeant's attitudes regarding the company admin section. Additionally, where the incidence of reported theft and assault was 35 percent higher than the other company barracks, was made with reluctance.

LT Tubbs viewed the creation of the section with apprehension. Though Mr. Thomas was the officer-in-charge of the section, it was an organizational entity of the S-1 office. Tubb's unfamiliarity with personnel administration procedures in combination with the transfer of his admin chief, Gunnery Sergeant (E-7), to the consolidated admin section intensified his anxiety. Mr. Thomas looked forward to the opportunity to initiate the new system and assume greater responsibility.

Implementation

The dissolution of company based administration and subsequent formation of the consolidated administration section went according to schedule. Former company clerks were assigned to sections within the new structure and the former company admin chiefs became the section heads. Though the companies experienced delay in the entrance of personnel record book entries and the typing of correspondence, it was felt that the system would soon 'de-bug' itself. After six weeks of operation, a HQMC inspection team examined the battalion's new section and rated it satisfactory in all areas associated with personnel administration and record-keeping.

During the third and fourth months of operation, the system was receiving increased criticism regarding personnel record book entries and typing delays. Additionally, a number of other complaints indicated some concern with the state of the consolidated management system.

- The section chiefs of consolidated admin displayed concern for their particular section and no other. GYSGT Clemons observed that when one of his section chiefs was absent, the personnel of that particular section often were involved in unproductive activities even though another section chief was in the same office.

- Several men were not receiving pay commensurate with rank for up to two months after promotion when in pre-consolidation the norm had been one month.

- Companies often failed to send personnel to the consolidated admin office to sign entries or review their records despite repeated calls from Mr. Thomas or his representative. Those Marines who did report spent a minimum of fifteen minutes waiting to be seen.

- Occasionally, personnel records would not be located by battalion record clerks for several hours.

- Often, companies would not return record books before the close of business despite requests by Mr. Thomas.

- Orders and leave papers were sometimes lost, which required duplicate clerical effort and meant delayed departure for the Marine.

The end of the fourth month saw the early retirement of Mr. Thomas. He was replaced by Mr. Suchiz, who was a 22-year veteran of the administration field with no experience in consolidated administration. Although briefed on the present system's shortcomings, Mr. Suchiz decided to examine operations for an indefinite period before instituting any change.

The fifth month contained several interesting occurrences. The most notable was the loss of three promotion warrants that had been signed by the battalion commander yet never reached the company. Additionally, one Marine's complete personnel record was 'lost' somewhere between a company promotion board and battalion. As the backlog of correspondence needing to be typed continued to mount, the battalion commander declared that all intra-battalion paperwork would be hand-written. Company dissatisfaction was matched by that of consolidated admin section.

The system continued to be fraught with a lack of cooperation and delay during the sixth month. Company correspondence that required typing had to be resubmitted to the battalion typing pool up to five times before a

satisfactory copy was produced. Typists received illegible drafts from the companies with no indication of a deadline for completion. Additionally, for some of the typing done, the typist who completed the work was not identified. Some company commanders expected their former company typists to type the company's correspondence and, therefore, resented a procedure where all drafts were received by the typing pool in one receptacle and precluded a company commander or his representative from choosing a particular typist. Spot checks of personnel records revealed several incomplete entries--many with the company memorandum requesting entry still affixed to the record jacket. The majority of first sergeants had no desire to review personnel records held by the admin section. They felt the records were battalion's and it was no longer their responsibility to perform such duties. Several Marines continued to experience delay in receiving proper remuneration. Even the process of obtaining a new ID card, which at the company level took one hour, now took half a day. Finally, antagonism between consolidated administration and the companies became so intense that LTC Butler, the battalion commander, called the meeting to discuss current administrative policies.

For Discussion

As a company commander, what are your responsibilities to the battalion commander?

END OF CASE STUDY

D. CASE STUDY: ANALYSIS AND DIAGNOSIS

1. Process

After careful reading of the case study, the following boundaries were set to aid in application of Weisbord's Six-Box Model:

- a) The organization (or Producer) to be analyzed/diagnosed was the administrative portion of the first tank battalion--Consolidated Administration. The environment (or consumer) would then be the remainder of the battalion--the companies.
- b) The mission of the consolidated administration organization is to provide all administrative support

and services for the battalion to enhance the administrative posture of the companies.

The Six-Box Model was used to analyze and diagnose the consolidated administration organization.

2. Issues

Data indicates that the organization is experiencing difficulties in the purpose, relationships, rewards, helpful mechanisms and leadership boxes. It is also experiencing severe problems with its environment (the companies). There are also some minor deficiencies in structure.

3. Conclusions

Based on the data in the case, it appears that all of the weaknesses in the boxes are caused by--or at least not corrected by--the deficiencies in the leadership box. Strong, positive leadership could have prevented many of the other weaknesses (or blips) from occurring. Strong, positive leadership can correct many of those that now exist.

A definite correlation can be made between weak leadership and the weaknesses of the various boxes of Weisbord's model. The fact that no one appears to be defining the purpose of, or attempting to achieve goal agreement within the organization appears as "blips" in the purpose box. This box is also affected by the failure of anyone ensuring that the mission of the organization is being fulfilled.

Examination of the structure box reveals a lack of anyone setting policy or enforcing established policies. The relationship box seems to be "out of balance" in that no one is working to improve relationships either vertically or laterally within Consolidated Administration. The failure of anyone establishing a rewards system or even counteracting the perceived negative incentives associated with the consolidation, is indicative of weak leadership. Few, if any, meetings seem to be held which may show poor use of helpful mechanisms. Finally, the functions of the leadership box itself, correcting deficiencies, taking charge, making decisions and smoothing things with the environment are not being tended to appropriately within Consolidated Administration.

E. ANALYSIS

Analysis of an organization in accordance with Weisbord's model is accomplished by collating data using the six boxes or categories. This enables one to systematically and objectively assess the data as well as the relationships between various facts and categories of facts. Analysis of Consolidated Administration is contained in the following paragraphs which describe the strengths and weaknesses (or positive and negative factors) within the various boxes.

The purpose of consolidated administration is to provide the battalion with all administrative services and support

to enhance the administrative posture of the companies. This purpose was clearly briefed to personnel E-6 and above, however, there is no indication that it was explained below the supervisory level. There does appear to be a lack of goal agreement. Behaviors to support this lack of goal agreement include: poor quality typing, personnel record entries not being made, a backlog of correspondence, section chiefs concerned only with their own sections and pay changes delayed as much as two months.

Analysis reveals both strengths and weaknesses in the area of structure. On the positive side, Consolidated Administration is organized by function--the staff are specialists in administrative procedures. Also a strength are the procedures that were established for checking out personnel records, utilizing the typing pool, obtaining copies of and maintaining directives, and reading messages. Two major deficiencies exist in the area of structure. First is the lack of an organization chart for consolidated administration. The lack of battalion operating procedures for the operation and utilization of consolidated administration is the second.

Weaknesses far outweigh the strengths in the relationships box. The lone positive blip was that the officer-in-charge was looking forward to the consolidation and its accompanying increase in responsibility. Weaknesses existed between people and the system. Documentation for

this includes service delays, typists not identifying themselves, and documents requiring retyping.

There are also difficulties in the relationships between units. Admin chiefs showed concern only for their own sections. If one section chief was absent, his/her troops were observed as being engaged in unproductive activities even though other section chiefs were present.

Other negative "blips" in the relationship box also appeared. The administrative personnel were generally dissatisfied. They did not want to be consolidated in the first place and made the move into the HQSVC barracks with reluctance.

Analysis of the data indicates that no formal or informal reward or incentive systems existed within the organization. There were, however, several things that were perceived as negative rewards by the personnel. These include being the recipients of criticism and antagonism, moving into the HQSVC barracks, and their general opposition to the consolidation. In addition, there was no longer any competition for the best company administrative office.

In the helpful mechanisms area, there is contradictory data. On the positive side, procedures for checking out records, typing, making record entries, obtaining copies of directives, and reading messages had been established. Data indicates that these same procedures were not being followed. The existence and execution of spot checks could

also be viewed as both positive and negative. There is no evidence of meetings and other mechanisms which would unite the organization.

With the exception of the officer-in-charge's administrative experience and his enthusiasm, there are no strengths or positive "blips" in the leadership box. Weaknesses in leadership appear as the following: S-1 officer was inexperienced as well as anxious and apprehensive about the consolidation; Mr. Thomas took no proactive measures to correct existing deficiencies (in Weisbord terms--not correcting the imbalance among the boxes); Mr. Suchiz decided to examine operations for awhile in spite of being briefed about the problems; finally, the section chiefs were concerned only with their own sections.

In order to make an accurate assessment of the organization, it is necessary to examine its environment. The positive data from the environment are as follows: the idea of consolidation was appealing to the company commanders because more time would be made available for unit preparedness; the fact that consolidation was directed by the Commandant of the Marine Corps. Far outweighing the strengths are the negative environmental factors which are impacting on the organization. These factors include: company 1st sergeants resented consolidation because it removed most of their responsibilities and they felt it violated a sacred trust; because of the correspondence

backlog, the battalion commander declared that intra-battalion correspondence could be handwritten; companies failed to return records by close of business; companies submitted illegible drafts for typing; companies failed to send personnel to admin to sign/review records; company commanders expressed resentment over not having their ex-clerks do their typing; no operating procedures; finally, there was antagonism and criticism directed at admin personnel.

OUTLINE OF AN IMPLEMENTATION DESIGN FOR CONSOLIDATED ADMINISTRATION, 1ST TANK BATTALION

PROBLEM STATEMENT:

Difficulties exist in the following areas:

- ..Goal Agreement (lack of)
- ..People/Procedures (job is not getting done)
- ..Relationship with environment (battalion)

INTERVENTION ACTIVITIES

- Conflict resolution (Admin personnel/companies)
- Goal clarification (Admin personnel)
- Procedures clarification (Admin personnel)
- Roles/Responsibilities clarification (Admin personnel)
- Team Building (Admin personnel)

INTENDED OUTCOMES:

- Improved relationships within Consolidated Administration.
- Improved relationships between Consolidated Administration and the rest of the battalion.
- Reduction in number of retypes required.
- Reduction in correspondence backlog.
- All service record entries made within 3 days of receipt.
- All procedures followed (by both Administration and Companies).

EVALUATION PLAN

- 4 months after meeting
- collect data around...
 - ...service time (waiting for service)
 - ...time required to complete service record entries
 - ...typing errors
 - ...retyping percentages (documents returned for reprocessing maximum of one time)
 - ...correspondence backlog (reduced 80%)
- Compare to data obtained from initial analysis and diagnosis.
- Prior to this time look for positive improving trends.

CONFLICT RESOLUTION MEETING

ATTENDEES:

OIC Consolidated Admin
Consolidated Admin Chief
Consolidated Admin Section Chiefs (5)
OIC Battalion Companies (5)
First Sergeants Battalion Companies (5)

Opening Remarks	5-10 Minutes
Introduction	5 Minutes
Purpose/goals/objectives/expectations	20 Minutes
Agenda	5 Minutes
Groundrules	5 Minutes
BREAK	10 Minutes
Problem solving exercise	1 Hour
-small groups (task)	
-whole group (discussion)	
BREAK	10 Minutes
CONFLICT RESOLUTION SESSION [Ref. 14:p. 295]	4-5 Hours
-Introduction	10 Minutes
Phase 1	30 Minutes
....2 groups who list procedures of selves and other group.	
...."How we see ourselves"	
...."How we see them"	
...."How we think they see us"	

CONFLICT RESOLUTION (cont.)

Phase 2	20 Minutes
....each group presents lists	
....clarification questions only	
BREAK	10 Minutes
Phase 3	30 Minutes
....2 groups	
....generate lists of problems and issues that they believe exist between them	
Phase 4	20 Minutes
....each group presents lists	
....clarification questions only	
LUNCH	1 Hour
Phase 5	20 Minutes
....consolidate lists into one	
....whole group rank orders list	
Phase 6	1 Hour
....cross groups formed for problem solving	
....groups take separate problems from Phase 5	
....Generate and rank order solutions	
BREAK	10 Minutes
Phase 7	1 Hour
....each group explains solutions	
....questions and criticisms invited	
BREAK	10 Minutes
CONCLUSION	30 Minutes
-Plan followup activities as needed	

ROLE CLARIFICATION MEETING

ATTENDEES

OIC Consolidated Admin

Consolidated Admin Chief

Consolidated Admin Section Chiefs (5)

INTRODUCTION

35 Minutes

-Introduce OEC personnel

5 Minutes

-Purpose/goals/objectives/expectations

20 Minutes

-Agenda

5 Minutes

-Groundrules

5 Minutes

ROLE/RESPONSIBILITY CLARIFICATION

-Introduction

5 Minutes

-Responsibility charting (whole group)

....explanation [Ref. 15:p. 77]

20 Minutes

BREAK

10 Minutes

-Perform exercise

2 Hours

BREAK

10 Minutes

-Discuss results of exercise

1 Hour

....are changes necessary?

LUNCH

1 Hour

ROLE CLARIFICATION MEETING (cont.)

TASK GROUPS

2 Hours

- Break into task groups to generate solutions/suggestions around:
 -job/task redesign
 -task reassignment
 -procedural changes

BREAK

10 Minutes

ACTION PLAN

1 Hour

- Present solutions/suggestions
 -criticism/comments
- Develop action plans

CLOSE

10 Minutes

TEAM BUILDING MEETING

ATTENDEES:

All Consolidated Admin personnel

INTRODUCTION

- Opening remarks by OIC Consolidated Admin 5 Minutes
- Introduction OEC personnel 5 Minutes
- Purpose/goals/expectations 20 Minutes
- Agenda 5 Minutes
- Groundrules 5 Minutes

ICEBREAKER EXERCISE 20 Minutes

BREAK 10 Minutes

TEAM BUILDING 1 Hour

- Decision making exercise 1 Hour

BREAK 10 Minutes

- Communication exercise 1 Hour

LUNCH 1 Hour

TEAM BUILDING (cont.)

- Problem solving exercise 1 Hour

BREAK 10 Minutes

- Information sharing exercise 1 Hour

BREAK 10 Minutes

SUMMARY 30 Minutes

- Wrap up of Team Building
- Questions
- Future expectations

P. CONSOLIDATED ADMINISTRATION: LEVELS OF DIAGNOSIS

1. Does the Organization Fit its Environment?

The data provided in the case indicates that the fit between Consolidated Admin and its environment (and vice versa)--the battalion is not a smooth one.

The companies of the battalion were not complying with the procedures established by admin (ex. not returning records by close of business). They were not cooperative either (ex. failing to send personnel to admin to review/sign records despite calls from admin OIC or his representative).

The data reveals that personnel are not doing everything within their power to support the organization as it attempts to fit with its environment (ex. correspondence backlog, poor quality typing, not making record entries, not locating personnel records).

2. Is the Organization Structured to Carry Out its Purpose?

(Which is to provide the battalion with all administrative support and services to enhance the battalion's administrative posture).

Except for some minor discrepancies (ex. lack of an organization chart, lack of battalion operating procedures), the organization is structured to support its purpose. The fact that consolidated admin is not fulfilling its purpose is not due to its functional structure--as indicated by the data.

G. FORMAL VS. INFORMAL DIAGNOSIS OF THE ORGANIZATION

1. Purpose

There exists a large discrepancy between the formal and informal in the area of purpose.

a. Formal: Is there goal clarity?

Battalion personnel (E6 and above), both consumers and producers were briefed on the consolidation. They were given an overview of the recommendations of the HQMC inspection team. They were informed that the consolidation was directed by the Commandant of the Marine Corps. The battalion Commander informed them that consolidation "would work". Goal clarity can be assumed-- at least for E6 and above personnel.

b. Informal: Is there goal agreement?

Goal agreement does not exist among the personnel of consolidated admin (ex. poor quality typing, poor service, record entries not made, section chiefs concerned only with their own sections).

2. Structure

a. Formal

The consolidation resulted in a change from a functional part of a functional organization (the companies) to a functional entity by itself. This new organization was comprised of administrative specialists divided into various sections (ex. personnel records section).

b. Informal: How the Work is/is Not Getting Done

Data indicates that the work is not getting done (ex. backlogs, delays). There is no evidence to suggest that structure is at fault. Perhaps there are not enough personnel assigned to adequately meet the demands. (Earlier in the case it was pointed out that due to a shortage of trained admin personnel, it was necessary to use "augmentees"--non-admin types, no admin training--for six month periods. At the time of the consolidation, the case indicates that admin personnel were transferred. The case does not specify whether the numbers were sufficient to fulfill the mission.)

3. Relationships

a. Formal

Data indicates that all combinations of relationships (people/people, units/units, people/technology) were not working well. The personnel were dissatisfied.

b. Informal

Data does not reveal that any attempts were made to resolve conflict or apathy or resentment or discrepancies within the organization. The one major source of conflict--that between the organization and its environment--was never addressed within the organization. Neither the organization or the environment, companies, made any attempt to resolve the conflict. There was, however, finger-pointing and blame shifting.

The only confrontation of conflict came when the battalion commander ordered both sides to resolve the conflict and formulate a sound and workable recommendation (15 JUL 77 meeting).

Since the organization is structure to perform a function, the various sections should work together. Data indicates the sections do not work together and it can be inferred that the quality of relationships is poor (if a section chief was absent, the troops were not productive even it another chief was present).

4. Rewards

a. Formal

There existed no formal or explicit incentive or reward system within the Consolidated Admin organization.

b. Informal

Data revealed that the informal rewards are all negative: resentment towards consolidation, personnel forced to move to HQSVC where the rates of theft and assault are 35% higher.

There is no evidence that anyone took pride in their job.

5. Leadership

a. Formal

There was no evidence to show that any protective leadership measures were taken beyond the establishment of some procedures.

b. Informal

The number of weaknesses or discrepancies in the other boxes indicated a lack of leadership.

6. Helpful Mechanisms

a. Formal

There were no formal helpful mechanisms within the organization. (There were, however, established procedures for performing tasks.)

b. Informal

The case mentioned that "spot checks" revealed that record entries were not made. There was no evidence to indicate that this helpful mechanism is perceived as positive or negative.

There was no evidence to indicate whether any attempt was made to correct deficiencies (backlog, service delays, loss of orders) through meetings, training or policy changes.

Data indicated that even those established procedures were not working (entries not entered into records, 1/2 day to obtain ID cards, typing backlog).

X. CONSULTANT TOOLS

Tools are those items which assist in accomplishing a particular task. Every profession has their own tools or "tricks of the trade." OD is no different.

The author believes that an OD consultant should possess a bag of tricks. This bag of tricks is filled with various tools to assist the consultant in interacting with an organization. Concrete tools such as diagnostic models, activity or exercise guidelines, and examples of contracts or letters might be included. In addition to the bag of tricks, a consultant uses many things which are not concrete. Things such as philosophies, ideas, hunches, and past experience.

It is often assumed that a consultant new to the OD discipline starts with an empty bag of tricks. This is not the case. A neophyte consultant brings past life and work experience--as well as one's personal and moral philosophies.

A consultant's bag of tricks is constantly expanding and contracting as new things and ideas are added and, perhaps, as old things and ideas are discarded. As this bag of tricks is flexible, so too should be the consultant in the utilization of these tools.

The use of a particular exercise or model may be very successful with one organization and yet may not work, or even be appropriate, for another organization. A consultant must be discriminating in the selection and application of the tools. In addition, the tools should be regularly evaluated as to their freshness and validity.

The amount of tools that one possesses is not important or even relevant. It is the use to which one puts these tools that matters. Creativity and flexibility should guide the selection and application of the tools and techniques of an OD consultant.

A. ACTIVE LISTENING SKILLS

Listening (and observing) can be a most efficient data gathering technique. Active listening requires a great deal of energy and practice. The author feels that it requires intense participation on the part of the listener.

The importance of good listening skills can not be overemphasized. Listening is an art. The following hints are provided as guidelines to becoming a better listener:

Be Prepared to Listen

- * Concentrate; focus energy on speaker
- * Looker speaker in the eye
- * Move closer to the speaker
- * Ignore background noise and distractions

Listen Actively

- * Organize the speaker's comments
- * Determine the main point
- * Paraphrase what you hear
- * Ask questions to get more information

Listen Between the Lines

- * Pay attention to non-verbal communications, such as facial expressions, tone of voice, gesture, etc.

Listen Objectively

- * Withhold evaluation
- * Let the speaker explain
- * Hear the person out

Listen with Empathy

- * Understand how the other person might feel; empathy is feeling like the communicator, not necessarily agreeing

B. BRAINSTORMING

Brainstorming is a creative problem-solving activity. Its main purpose is the generation of numerous ideas, problems, and perhaps solutions. Brainstorming requires that the right side of the brain be involved and the left side of the brain be as inactive as possible.

The right side of the brain has to do with creativity, imagination, and spontaneity. (Artistic ability lies in the right brain). The left side, through which the majority of people operate, deals with logic and rationality. (Mathematical ability stems from the left side of the brain).

Brainstorming can be an extremely productive activity. The consultant's role during this activity is to stimulate the participant's creativity and keep them on a creative, spontaneous, and non-evaluating track.

The following is a suggested list of brainstorming ground rules:

- * All criticism and evaluation of members' inputs are ruled out. (Criticism and evaluation are left brain activities.)
- * Wild ideas are expected and accepted in the spontaneity that evolves.
- * The quantities of ideas count, not the quality.
- * Build on other's ideas when possible.
- * Focus on the issues.
- * Make sure all members are heard.
- * Record all ideas.

C. CLIENT REPORT OUTLINE

Upon completion of an intervention, or at other previously agreed upon points, the consultant provides the client with some form of written report. This report can be something as simple as a memorandum saying "the job is done." It can be as complex as a step by step description and evaluation of all actions on the part of the consultant. The following format, used previously by the author, strikes a compromise between simple and complex.

1. Part One: The Abstract

This is a brief summary of the entire intervention. It is a recap of all of the events which have occurred.

2. Part Two: The Assessment

This section addresses all of the concerns expressed on the Memorandum of Understanding. Data gathering and analysis (diagnostic model) techniques are explained. The results of the data analysis are provided in this section.

3. Part Three: Planning

This section describes all the suggestions for future actions.

4. Part Four: Implementation

This section discusses the recommendations which will actually be implemented.

5. Part Five: Evaluation

This section evaluates the success of the intervention. If that is not possible, then a description of future indicators/evaluation of success should be included.

6. Part Six: Enclosures

- * Memorandum of Understanding
- * Feedback/Action Planning Meeting Notes, Outlines, Charts
- * Action Plan
- * Evaluation Plan
- * Cost Accounting Information

D. CRITIQUE SAMPLE

The author believes that one way to check the validity and effectiveness of Organizational Development efforts is to solicit constructive criticism from the participants. The following critique sample is one way of obtaining such feedback.

Below you will find some questions which ask you to evaluate our performance during this section. Please answer the questions carefully, honestly, and thoughtfully, as your opinions really are vital sources of information which we use to evaluate the effectiveness of both our programs and staff.

- 1) Did you find this effort worthwhile and did it assist you in improving productivity?
- 2) Is there anything from the program you would like to see changed or improved?
- 3) Is there any specific advice or comments you would like to pass to the consultant?
- 4) Any other comments?

E. DATA GATHERING

The collection of data is vital to any organizational development effort. The subtle art of data gathering is one that can be learned and practiced. Data can be collected through interviewing, document review, obtrusive or unobtrusive observation as well as from surveys. The following information on questioning and observation is provided:

1. Questioning Techniques

Use questions to:

- * Gain information
- * Give information (Did you know...?)
- * Generate understanding and interest
- * Start the thinking process
- * Reach agreement
- * Bring attention back to the subject
- * Give positive strokes
- * Determine "hot buttons"--what turns listener on/off

Types of Questions [Ref. 16:pp. 62-77 & Ref. 17:pp. 82-120]

<u>Clarifying:</u>	<u>Open-Ended:</u>	<u>Echo or Mirroring:</u>
Paraphrase what you understand	To draw a broad response	To encourage expansion
Insures you and listener are on same wavelength	To get more detailed information	Asks listener to state in different words the previous message
	To encourage listener to elaborate	Reiteration of key words or group of words
		Echo back in question
<u>Examples:</u>	<u>Examples:</u>	<u>Examples:</u>
"If I'm hearing you correctly..."	"Can you give me an example?"	"I felt like I wasn't getting enough support?"
"Are you referring to escrow or customer service?"	"Would you please elaborate?"	"Enough support?"
"Seems to me your main concern is with seniority. Is that correct?"		

2. Questioning Strategies to Avoid [Ref. 16:pp. 74-76]

Leading: The way the question is phrased suggests the answer: "Don't you agree that...?" "Aren't you in favor of...?", "Don't you think...?" [Ref. 17:pp. 85-86]

Loaded: Close cousin to Leading: anticipates agreement. Either way listener answers, it's likely to be wrong. It's a little like Russian Roulette: "That wasn't a very good reason for not completing the assignment, was it?", "When did you stop beating your wife?"

Why: We all tend to use it a great deal. It can be threatening and intimidating. Try "How can we correct this?", rather than "Why did you do that?"

3. Observation Form [Ref. 18:pp. 47-48 & Ref. 19: pp. 21-24]

The following group observation form provides a basic framework for observing, recording, and studying some elements of the dynamics which operate in small group interaction:

a. Interpersonal Communication

- 1) Expressing (verbal and non-verbal)
- 2) Listening
- 3) Responding

b. Communication Pattern

- 1) Directionality (one-to-one, one-to-group, all through a leader)
- 2) Content (thoughts, feelings, etc.)
- 3) Influence (who talks to whom, who looks at whom for support?)

c. Leadership Style

- 1) Was the main leadership pattern democratic?
- 2) Was the main leadership pattern dictatorial?
- 3) Did a "do you own thing" leadership style prevail?

d. Effects of Leadership

- 1) Was participation generally good?
- 2) Was there a lack of enthusiasm by participants?
- 3) Did commitment seem low?
- 4) Were some participants holding back?

e. Participation

- 1) Who were the most active participators? Which participants were not active?
- 2) Were there major shifts in levels of participation during the activity?
- 3) How were low participators treated? How was their silence interpreted?

f. Influence

- 1) Who were the most influential members in the group? Who were the least influential?
- 2) Were there major shifts in sources of influence during the activity?
- 3) How many suggestions were rejected?

g. Decision Making

- 1) How were decisions made? By voting? Consensus? Ramrodding?
- 2) How focused was the group on its main topic of concern?
- 3) Were there particular clusters of group participants who would usually support one another in arriving at decisions? Were there groups of individuals who were frequently in conflict with one another?

- 4) How involved were all group members in arriving at decisions?
- 5) How did the group resolve major differences of opinion?

h. Norms

- 1) Were there certain topics which were generally avoided by the group (for example, religion, race, feelings for one another, sex, points of disagreement, etc.)?
- 2) Did members of the group conduct themselves in particularly polite or formal ways? Were members conducting themselves in a manner that seemed especially informal?
- 3) Were individual's feelings dealt with openly?
- 4) Were individual's motives dealt with openly?

i. Goals

- 1) Were group goals discussed?
- 2) Were the goals agreed upon?
- 3) Did the group accommodate diverse member goals?

j. Cohesion

- 1) Did group members tend to perceive situations similarly?
- 2) Did membership in the group provide interpersonal rewards?

k. Group Climate

- 1) How would you characterize the general climate of the group?
- 2) Did members of the group seem to have sincere regard for one another's thoughts and feelings?

l. Situational Factors

- 1) What were the effects of the group size?
- 2) Was time a factor in the group's process?

- 3) Were physical facilities an important factor in determining the nature of interaction (for example, seating arrangement, tables, etc.)?
- 4) Were all members present for entire interaction?

F. DATA FEEDBACK

In this author's experience, the most nerve-wracking moment in a consultant's relationship with a client is the data feedback session. This is the point where the consultant discloses the results of his or her analysis of the organization. Evaluative comments and identification of problems often account for much of the data reported back.

Needless to say, it is imperative that this information be positively given and received. The health of the client/consultant relationship, and perhaps the organization, is at stake. The delicacy of this situation requires, among other things, tact and diplomacy on the consultant's part.

Peter Block [Ref. 20:pp. 167-174] provides the following hints, which the author found to be very beneficial, for giving data feedback. The following are guidelines for selecting the data to highlight at the feedback meeting.

Select items that:

- 1) The client has control over changing.
- 2) Are clearly important to the organization.
- 3) Have some commitment to work on somewhere in the client organization.

The following guidance for giving feedback is suggested:

Use Language That Is:	Avoid Language That Is:
Descriptive	Judgemental
Focused	Global
Specific	Stereotyped
Brief	Lengthy
Simple	Complicated

* Be assertive, not aggressive

* Be descriptive, not evaluative

Note: Support and confrontation are not mutually exclusive. In providing feedback, the consultant is both supporting and confronting the organization.

It is often useful to have the client representative assist with the diagnosis of the initial data collected. Some ownership can thus be established within the client organization. Care must also be given to not pushing this so hard that one's confederates find their careers threatened. (The military has a reputation for managers who "kill the messenger" who carries forth the bad news.) If analysis reveals the data to be critical of the person in charge, it is sometimes useful to share the feedback with that individual.

G. STAGES OF GROUP DEVELOPMENT [Ref. 21:pp. 124-126]

Changes in team leadership or the creation of new teams often results in losses of productivity due to the tendency of all groups to go through some predictable stages of growth and regression. Some typical dysfunctional

behaviors of team members, team leaders, and the team as a whole when groups are in transition are:

DYSFUNCTIONAL BEHAVIORS:

BY TEAM MEMBERS	BY TEAM LEADER	BY TEAM AS A WHOLE
Evident anxiety regarding future	Attempts to take charge	Gain/loss in esteem identity
Attempts to blend into woodwork	Seemingly random changes	Competitive behavior
Rejoicing/mourning loss of old leader	Negative stereotyping	Drops in level of candor
Temporary confusion	Nepotism	Confusion over group's purpose/priorities
Sabotage	High expectations/frustrations	Work suspension
Distrust/blaming	Stress reactions	Excessive meetings/presentations
Testing of new leader		Formation of new coalitions
Panic		Shelving of innovative plans
Jockeying for positions		Change of reward systems
Stress reactions		Overuse of grapevine

An awareness of the stages of group development is important, particularly for managers and organization-development practitioners who must lead teams during times of transition.

H. TUCKMAN'S MODEL OF GROUP DEVELOPMENT

Several models of group development are available in the literature. Tuckman (1965) summarized the results of over fifty studies into the following four-stage model, upon which this article is based:

Stage I, Form, characterized by testing and dependence;

Stage II, Storm, characterized by intrateam conflict;

Stage III, Norm, characterized by the development of team cohesion; and

Stage IV, Perform, characterized by functional role relatedness

1. Stage I: Form

During Stage I, team members discover what behaviors are acceptable to the group. For newly established groups, this stage is the transition from individual to member status. For teams with new leadership, mission, or members, this stage is a period of testing behavior and dependence on formal or informal group leadership for guidance in a newly unstructured environment. This stage is also characterized by the following:

- * Attempts to identify tasks in terms of relevant parameters and to decide how the group will accomplish the task
- * Decisions on the type of information needed and how it will be used
- * Hesitant participation
- * Tests of behavioral expectations and ways to handle problems
- * Feelings of initial attachment to the team

- * Intellectualizing
- * Discussion of symptoms or problems peripheral to the task
- * Complaints about the organizational environment
- * Suspicion, fear, and anxiety about the new situation
- * Minimal work accomplishment

2. Stage II: Storm

During Stage II, team members become hostile or overzealous as a way to express their individuality and resist group formation. Members recognize the extent of the task demands and respond emotionally to the perceived requirements for self-change and self-denial. Other characteristics of this stage include:

- * Infighting, defensiveness, and competition
- * Establishment of the unachievable goals
- * Disunity, increased tension, and jealousy
- * Resistance to the task demands because they are perceived to interfere with personal needs
- * Polarization of group members
- * Sharp fluctuations of relationships and reversals of feelings
- * Concern over excessive work
- * Establishment of pecking orders
- * Minimal work accomplishment

3. Stage III: Norm

During Stage III, members accept the team norms, their own roles, and idiosyncrasies of fellow members.

Emotional conflict is reduced by patching up previously conflicting relationships. Other characteristics of this stage include:

- * An attempt to achieve maximum harmony by avoiding conflicts
- * A high level of intimacy characterized by confiding in each other, sharing personal problems, and discussing team dynamics
- * A new ability to express emotions constructively
- * A sense of team cohesiveness with a common spirit and goals
- * The establishment and maintenance of team boundaries
- * Moderate work accomplishment

4. Stage IV: Perform

Now that the team has established its interpersonal norms, it becomes an entity capable of diagnosing and solving problems and making decisions. A Stage IV is not always reached by management teams. Other characteristics of this stage include:

- * Members experience insight into personal and interpersonal processes
- * Constructive self-change is undertaken
- * A great deal of work is accomplished

5. Implications for Group Membership

Because the form, storm, and norm stages result in minimal output, it is tempting to try to rush through or short circuit these stages and to hope the group can thereby achieve peak productivity. Although seductive, this idea is

dysfunctional. Just as individuals go through predictable stages the duration of which depends on factors such as individual and team maturity, task complexity, leadership, organizational climate, and external climate. Groups can fixate at various stages. Some (like some people) are never fully functioning. Given that the stages are inevitable, one way to help reduce the time needed for a new or changing team to be fully productive while minimizing the tension, fear, or anxiety common in the form and storm stages is to share rumors, concerns, and expectations about the group. Members of the team can contract with one another that there will be no "surprises," and therefore, an atmosphere of trust can be achieved earlier (norm stage), allowing for interpersonal issues to be put aside in favor of task issues and for the team to move on and perform.

I. FUNCTIONAL ROLES OF GROUP MEMBERS

Task Functions: [Ref. 22:p. 39] Maintenance Functions

- | | |
|-----------------------|--------------------|
| * Initiating | * Harmonizing |
| * Opinion Seeking | * Compromising |
| * Opinion Giving | * Gatekeeping |
| * Information Seeking | * Encouraging |
| * Information Giving | * Diagnosing |
| * Clarifying | * Standard Setting |
| * Summarizing | * Standard Testing |
| * Elaborating | |
| * Commonman Taking | |

J. LONG RANGE PLANNING [Ref. 23]

1. Long Range Planning Definition

Long Range (Strategic) Organizational Planning--a process through which the organization identifies future direction, clarifies its "purpose", mission, goals, and objectives, and determines the means and strategies to achieve its vision of the future.

2. Long Range Planning Agenda

Event	Outcomes	Methods	Time
1	Pework - Prepare participants for planning conference and gather perceptions of key personnel	a. Key personnel fill out the prework questionnaire b. Participants collate input by divisions	1 hr per person
2	Introduction: Create understanding of conference objective and groundrules	a. Introductory Remarks -Nature of planning -Perception of strengths and weaknesses -Review conference goals -Expectations -Agenda	30 min

Event	Outcomes	Methods	Time																											
3	Demands-Determine present external and internal demands on the organization, and identify the organizations response to those demands	<div>a. Each participant completes</div> <table><thead><tr><th>Demand</th><th>For Whom</th><th>Response</th></tr></thead><tbody><tr><td>Ext</td><td></td><td></td></tr><tr><td>—</td><td></td><td></td></tr><tr><td>—</td><td></td><td></td></tr><tr><td>—</td><td></td><td></td></tr><tr><td>Int</td><td></td><td></td></tr><tr><td>—</td><td></td><td></td></tr><tr><td>—</td><td></td><td></td></tr><tr><td>—</td><td></td><td></td></tr></tbody></table> <div>Response code a - doing well b - doing it c - not doing it</div> <div>b. Negotiate Differences</div>	Demand	For Whom	Response	Ext			—			—			—			Int			—			—			—			2 hrs
Demand	For Whom	Response																												
Ext																														
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4	Values - Identify desired organiza-tional values and gain understanding between desired and current operating values	<div>a. Post prework values results</div> <div>b. Reach consensus on top</div> <div>c. Identify gap between expressed and operating values</div> <div>d. Identify norms of be-havior that should be implemented to achieve the desired organiza-tional values</div>	2 hrs																											
5	Purpose: Clarify the organization's purpose	<div>a. Lecturette on Purpose/ Mission/Goals/Objec-tives</div> <div>b. Each participant writes an organiza-tional purpose state-ment</div> <div>c. Post purpose statement</div> <div>d. Factor common themes</div> <div>e. Blend common themes into comprehensive purpose statement</div> <div>f. Obtain consensus</div>	2 hrs																											

Event	Outcomes	Methods	Time						
6	Relate Purpose to Environmental Demand and Response: Explore the relationship among organization's purpose, environmental demands, and response code	a. Add column 4, "Relation to Purpose" to environmental scan matrix completed in Event #3 b. Use following codes: 1-Mission/purpose essential 2-Significantly important to mission accomplishment 3-Routine, maintenance activities 4-No relation to purpose 5-System imposed c. Individual completion d. Report out and resolve discrepancies (identify, discuss and action plan to correct those demands that are "falling through the cracks"	1 hr						
7	Organizational Interdependence: Analyze the amount of organizational interdependence required to accomplish the purpose	a. Analysis directed toward a set of relationships that are required to interface within the organization to accomplish the purpose b. How much do they need to work together to accomplish the purpose and meet the environmental demands Groups 1 2 3 <table> <tr> <th>1 & 2</th> <th>1 & 3</th> <th>2 & 3</th> </tr> <tr> <td></td> <td></td> <td></td> </tr> </table> High interdependence - depends upon each other for survival Medium interdependence - each needs some things from the other Low interdependence - can function OK without each other	1 & 2	1 & 3	2 & 3				4 hrs
1 & 2	1 & 3	2 & 3							

Event	Outcomes	Methods	Time										
7 cont		<p>c. Analyze the current quality of relations by group</p> <p>Excellent - Full cooperation evident</p> <p>Good - Often cooperative understanding</p> <p>Average - Get by OK, with some friction</p> <p>Poor - Frequent misunderstanding Poor Trust</p> <p>Bad Situation - Serious problems</p> <p>d. Respond to the question "To improve mission accomplishment and quality of relations, what do you want from the other group?"</p> <table><tr><th>Fr.</th><th>To</th><th>Support Require</th><th>Resp</th><th>Time</th></tr><tr><td></td><td></td><td></td><td></td><td></td></tr></table> <p>e. Groups report out their requests</p> <p>f. Groups respond to others' demands with following codes in Response column</p> <p>1-Agree to support requirement</p> <p>2-Disagree with support requirement</p> <p>3-Requirement needs research and we will get back to you on following date: _____</p>	Fr.	To	Support Require	Resp	Time						
Fr.	To	Support Require	Resp	Time									
8	Future: Determine the future state of affairs in the organization	<p>a. Participants individually respond to the following question: "If you had complete control and power, what would you want the state of affairs in this organization to be in 1988?"</p>	2 hrs										

Event	Outcomes	Methods	Time
8 cont		b. Break into subgroups to develop alternative future scenarios c. Each group reports out its scenario and rationale d. Analyze the various scenarios and factor out the best scenario	
9	Identify Contingencies. Identify contingencies that could occur which would support or impede the accomplishment of the organization's future state	a. Subgroups response to the questions: 1. What trends, forces, events do you see coming that are going to support and facilitate the achievement of the organization's future state? 2. What trends, forces, events do you see coming that are going to impede our ability to achieve the future state? <div style="display: flex; justify-content: space-around; border-top: 1px solid black; border-bottom: 1px solid black; margin: 10px 0;"> <div style="text-align: center;">+ For</div> <div style="text-align: center;">- Against</div> </div> b. Wargame possible courses of action to respond to opportunities and threats	1-1/2 hrs
10	Identify the "gap" between present and Future State: Identify the variance between the current organization and the desired future state	a. Discuss and identify action items to be addressed in reaching the future state b. Working backward from end point, develop first steps, identify implementation responsibilities, establish monitoring responsibilities, criteria and or time for reviewing and update the plan	4 hrs

Event	Outcomes	Methods	Time
10 cont		c. Review missions, goals and objectives in light of purpose and future state, make necessary modifications d. Examine organizational design in light of future state e. Develop strategic/transition management plan	
11	Closure: Clarify next steps in process	a. Review progress to date b. Identify composition of transition management group to review progress c. Closing remarks d. Critique by consultants	

3. Definitions

PURPOSE

Broad, general definition of the organization's reason for being in existence (with an 80% cut in assets, what would you still be doing?) (What makes your organization unique?) (If it were not for _____, your organization would not exist)

MISSION

General, non-measurable areas upon which the organization has decided to focus its effort. Determined by both external factors (organization's purpose) and internal factors (top management's emphasis).

GOALS

Specific non-measurable, actual or implied tasks that must be accomplished, grouped by mission, in order to achieve each mission.

OBJECTIVES

Measurable tasks to achieve goals assigned to specific agencies within a prescribed period of time.

4. Long Range Planning - Basic Assumptions

- a. System has right and responsibility to make itself the way it wants to be.
- b. Organizations can to a great degree control their internal and external operations and environment.
- c. The complex organization is a set of interdependent parts that together make up a whole because each contributes something and receives something from the whole, which in turn is interdependent with some larger environment.
- d. Understanding organizations involves much more than understanding goals and the arrangements that are developed for their accomplishment.
- e. Organizations are affected by what comes into them in the form of input, by what transpires inside the organization, and by the nature of the environmental acceptance of the organization and its output.

5. Advantages of Long Range Planning

- a. Useful when major changes are to be made such as mergers, new top management, etc.
- b. Useful when things seem too good.
- c. Useful when ability to perform is impaired by other outside groups.
- d. Useful when a group is just forming or coming into existence.
- e. Useful at regular intervals of approximately 5 years.
- f. Especially useful for organizations with "service" type technologies.
- g. Useful when organization receives undue criticism.
- h. Useful to unite total organization to accomplish its mission.

i. When well done, it resolves some of the organization's most difficult problems.

j. Establishes a representative "core group".

6. Disadvantages of Long Range Planning

a. A complex and demanding procedure that entails some risk of negative outcome.

b. Typically requires much effort in follow-through.

c. Requires careful planning, management, and commitment.

d. Usually requires a fairly high time commitment especially on the part of top management.

7. A Comparison of Strategic and Non-Strategic Thinking

Non-Strategic Thinkers

Strategic Thinkers

Fail to Plan.....Prepare for the Future

Are Security Oriented.....Are Growth Oriented

Concentrate on Problems.....Focus on Opportunities

Are Limited by Weakness.....Capitalize on Strength

Prefer Old Techniques.....Innovate in a Changing Environment

Hesitate to Support New Ideas.....Are Partners to Progress

Use Structure for Security...Use Structure to Support Growth

Work to Avoid Criticism.....Work to Achieve Results

Are Frightened About Changes..Search for Better Alternatives

Are Judgemental of Others.....Are Supportive of Others

Are Task Oriented.....Are Goal Oriented

8. Value Considerations

a. Affect behavior and determine organizational norms.

b. Affect the implementation and application of any planning process.

- c. Provide standards by which people are influenced in their choice of actions.
- d. Are important determinants of decisions (conflict of two good things).
- e. Can be in conflict. There can be a dichotomy between people's preferred values and the actual organizational behavior.
- f. Provide an opportunity to identify discrepancies between what people want their organization to be and what it is.

9. Some Criteria for the Evaluation of Strategic Alternatives

In strategic management, there are usually several broad alternatives open to an organization as it seeks to fulfill its basic purposes within the present and anticipated future environment. In addition to the standard criteria of cost and expected economic benefits, the following questions can be asked of the various alternatives open to the organization:

- a. The alternatives should be evaluated in terms of whether they are relatively "backward-looking" versus "forward-looking".
- b. The alternatives should be evaluated in terms of the extent to which they draw upon the organization's present and likely future capabilities.
- c. The alternatives should be evaluated regarding the extent to which they fulfill the known desires of those who own or charter the organization, with special attention to those who control its funding.
- d. The alternatives should be evaluated in terms of the extent to which each is something the organization's leadership really wants to do.
- e. The alternatives should be evaluated in terms of the amount of internal disruption and reorganizing each will cause if it is pursued.

- f. The alternatives should be evaluated in terms of the extent to which each permits the organization to remain open to future alternatives and options, vs. causing the organization to "burn its bridges". Keeping options open can be especially important under conditions of high uncertainty about the future.
- g. The alternatives should be evaluated regarding the degree to which each moves the organization in the direction of being the kind of organization it wants to be, in the eyes both of members and of key entities in the organization's environment.

Depending on the circumstances, these criteria will occupy different degrees of importance. Doubtless, too, other considerations will arise from time to time. The evaluation of strategic alternatives is inexorably a process of weighing and comparing and judging, not reducible to a fixed formula.

10. Long Range Planning Prework Questionnaire

In preparation for the Long-Range Planning Conference, please answer the following questions and complete the attached values survey.

Internal/External Relations: The organization does not exist in isolation. Your organization has to maintain many relationships with various groups outside of the organization. These relationships exist for a variety of purposes, including coordinating workflow, obtaining services, exchanging information and technologies, providing services and responding to or initiating directives and policies.

This portion of the prework will focus on those relationships. List the major individuals or groups

internal and external to the NMS that you have had contact with during the past six months.

Internal

External

_____	_____
_____	_____

Fill out the form below using the following criteria:

DEMANDS - What demands, pressures, and constraints consume your time? List the principal demands placed on your organizational elements by groups outside your organization in the "External" section. List the principal demands placed upon you from within.

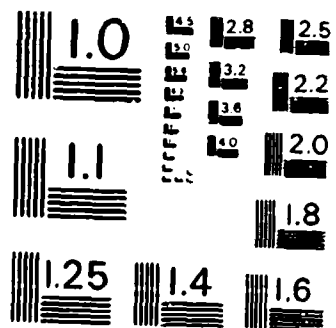
FROM WHOM - What group makes this demand?

RESPONSE CODE - Indicates your response to the listed demands using the following codes:

- a - doing it well
- b - not doing it well
- c - not doing it

External

Internal



MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

List the five key future demands (different from known demands of today) that may be placed on the organization in the 1985-1988 time frame.

- a.
- b.
- c.
- d.
- e.
- f. What documents, if any, concretely define the organization's purpose?
- g. From these documents or from other sources, what are the formal central purposes supposed to be?
- h. From your knowledge of the demands placed on the organization, how congruent are the purposes in 5 above with the actual demands to which it responds?

_____Excellent _____Good _____Fair _____Poor
- i. When an organization has a bad "fit" with the environment or low goal clarity and/or commitment, it's tempting to say "we have no goals" or "we mean all things to all people." Every organization, however, serves some purpose, even if the purpose isn't clear.

Consider how the organization now operates. In the space below, list as many endings as possible to the statement: "It is being run as if its purpose were..."

If the stated formal purpose and your answers to (a) above don't match, what statement of purpose might gain you a better "fit" with the environment, greater goal clarity or higher commitment (your own or others)?

j. To what extent do most people in the organization understand the purposes the same way you do?

1	2	3	4	5
most	would agree		most	would not agree

k. To what extent do the people in the organization see the organizations serving in major ways purposes different from the stated ones?

1 2 3 4 5
to a great extent to no extent

1. Now go back to question #2. Add column 4, entitled "Relation to Purpose" to the environmental demands matrix. Review the demands and relate them to the formal organizational purpose using the following codes;

- 1 - mission/purpose essential
- 2 - significantly important to mission accomplishment
- 3 - routine, maintenance activity
- 4 - no relation to purpose
- 5 - system imposed

m. What do you think are the most important assumptions to keep in mind in making long-range plans for the NMS?

11. Values Survey

What I value in organizations I belong to is for the organization to be: (Rank order in terms of the item's importance to you)

A. ACHIEVING - Making a worthwhile contribution to the larger society and meeting the needs of individuals.

___B. BALANCED - maintaining appropriate concern for the needs of society, the organization and individuals without discounting any of the three.

___C. BEAUTIFUL - having a sense of the esthetic in its architecture, landscaping and work environment.

___D. CARING - making people feel important and being concerned with their health.

___E. COMFORTABLE - a place where people fit easily, relate to one another well and feel they are wanted.

___F. EGALITARIAN - provides equal opportunity for all and access to the information needed to control their own lives.

___H. FREE - a place where members can make choices, express their independence and participate in decisions that affect their lives and careers.

___I. FULFILLING - having a sense that the work is meaningful and the organization contributes to society as the individual contributes to the organization - a place I want to work.

___J. HARMONIOUS - an organization where there is inter and intra group harmony, given to solving problems rather than blaming and finding fault.

___K. HUMANISTIC - concerned more with contributing to human welfare and the quality of life and the competitive struggle for a standard of living.

___ L. INTEGRATED - possessing unity and wholeness beyond a simple summing of the parts.

___ M. PURPOSEFUL - having a clear sense of purpose--a mission--which it commits to and uses to evaluate all its results and activities.

___ N. SPONTANEOUS - responsive to needs, flexible, open to change, not bound by strong traditions when they are not functional.

___ O. STRUCTURED - lives by a clear set of policies, rules and procedures which state what is expected of individuals and how they should behave.

___ P. SUPPORTIVE - supplies the necessary resources, tool, equipment, training and knowhow to get the job done; my boss gets me what I need and encourages me.

___ Q. SECURE - strong enough that I am not worrying about being laid off or reassigned for no fault of my own.

___ R. SUCCESSFUL - a leader in its field with a good record of effectiveness and achievement, well established.

___ S. WARM - friendly and informal relations are encouraged, emphasis on enjoying fellowship.

K. TRANSITION WORKSHOP PACKAGE [Refs. 24 & 25]

1. The Transition Workshop Overview

What is it? A set of activities designed to:

- * Provide the new commander information to make sound decisions in establishing priorities and implementing changes.

- * Build trust and respect by having the new commander and the workshop participants share information and gain personal knowledge of each other.
- * Establish organization goals consistent with the desires of top management.
- * Allow each commander an opportunity to articulate the command climate that he hopes to establish.

Benefits:

- * Get to know the new commander. Partially answers the question: "What's the new admiral like?"
- * Reduces organizational "downtime."
- * Focuses attention on philosophy, desires, and style of the new commander.
- * Frees exchange of information. Helps set the tone.
- * Efficient and professional approach to top leadership team-building.

2. Background Information

The transition of a new commander is a complex process which is estimated to cause some disruption to the organization for up to six months. The resistance to change and uncertainty is not only detrimental to the organization but traumatic to the individuals involved. In the Navy, where change is a way of life, every two years or so, either the senior or the subordinate will depart. As the commander sets the tone or climate for the organization, the transition to a new commander is the most important factor in the people equation. The objective of this workshop is to expedite the transition process by clarifying the commander's goals, communicating the concerns of the

command, and improving the groundwork for continued teamwork through communication.

a. Sharing Information

The question, "What's the admiral like--What does He expect?" covers a lot of ground. What is needed is a clarification not only of the commander's overall philosophy but specific information in a number of critical performance areas. Below are listed some specific areas to consider when preparing for the transition workshop.

b. Decision-Making

What do you consider a command decision?

How far should a department head go in making commitments?

How do you feel about being questioned about your decisions?

How do you indicate that a decision is non-negotiable?

How should department heads proceed if they want to put forth the best case for changing a policy or decision that you have made?

Do you have a negotiation period after you decide? When is it over? How do you terminate it?

How should a department head tell you that they feel you may be in danger of making a mistake?

c. Style

Assess your temper--What should they know?

How do you praise or chastise?

Do you use sarcasm/Do you have a sense of humor?

How will a department head know that you consider him important?

When you walk the spaces, are you there to socialize, inspect or merely to observe?

How do you react to bad news/problems?

d. Communications

How much do you want to know about a problem?

How do you like information? Memo/brief/meetings/phonecalls, etc.

How should written input look when it reaches your desk? Typos, Rough, References attached, etc.

Do you expect status reports--What format?

Request chit handling--Time, reason, etc.

What does your "zinger" look like? How long does it take you to forgive and forget?

How do you like to communicate with the command?

e. Chain of Command

How are bypasses viewed? When is it OK?

What would you suggest someone do if they feel that you have bypassed them in the chain of command?

What is your "open door" policy? Do you normally make decisions or defer them?

If an inexperienced department head needs advice or wants to talk through a problem, who should be consulted first?

f. Fitreps/Evaluations

What is your philosophy?

What does it take to get a waterwalker ticket?

What style do you prefer? Length? Specific comments?

Pet peeves, buzzwords, pentagonese, etc.

g. Discipline/NJP

Philosophy of NJP

Reaction to drug/alcohol abuse?

Counseling of Offenders?

EMI?

h. Social Aspects

When is a social function a command performance?

Any specific moral stances?

Fraternization?

1. Priorities

What is your command plan? What do you consider success?

How do you communicate your priorities and major shifts in priorities?

What are your personal goals in the next six months?
Career?

Summation: The above questions are designed to provide departure points for productive discussion between members of top management team.

3. Transition Workshop Objectives

The purpose of this meeting is to facilitate the change of command process. It is designed to:

- * Provide the new leadership with the information needed to make sound decisions in establishing priorities and implementing changes.
- * Identify the major goals and priorities for the next six to nine months.
- * Enhance the effectiveness and teamwork of the organization.
- * Clarify participants' concerns about the change of leadership.
- * Identify the leadership style of the new leader in order to provide more effective support.

The meeting will be focused on management issues. It is not designed to produce interpersonal closeness, nor for blaming others for present or past difficulties; rather, it is an opportunity to identify, discuss, and remedy problems/issues at hand in the transition of command.

The facilitators of this meeting will be working for you and will report nothing outside this command.

4. Transition Workshop

a. First Day

Data gathering: Pework interviews

b. Second Day

Agenda

*30 min.	0730-8000	Social Time- coffee/donuts	CO
*10 min.	0800-0810	Brief Welcoming Remarks	CO
1 1/3 hrs.	0810-0930	Objectives, agenda Self introductions	Consultant/ Participants
15 min.	0930-0945	Break	Consultant
*30 min.	0945-1015	Development of Workshop Expectations, Groundrules	Participants
1 3/4 hrs.	1015-1200	Identification of Organizational Wide Issues/Clarification of Incoming Leader's Leadership and Management Style Prioritise items, time permitting	Participants
1 1/2 hrs	1200-1330	LUNCH (as a group in a local restaurant) CO present if possible	Participants

*2 hrs.	1330-1530	Report Out and Discussion of Upcoming Issues and Concerns	CO
10 min.	1530-1540	Break	Consultants
*20 min.	1540-1600	Goals/Closing Remarks	CO

* = CO Present

Note: This effort is an issue identification meeting.
Detailed planning around certain issues should be the subject
of another future effort: An Action Planning Workshop.

c. Third Day

Outchop

30 min.	1000	Discussion of remaining details by consultant and CO
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0800-0810 -- WELCOMING REMARKS (CO)

Please make brief introductory remarks to include your reason
for the Transition Meeting, your commitment to the effort,
and introduce consultant. Any discussion around goals, your
leadership style, etc., should be reserved for the next
session.

0810-0930 -- SELF INTRODUCTION (All)

After consultant briefly reviews the workshop's concept,
objectives, and agenda, he/she will ask participants to
introduce themselves (see Tab A). After they are finished
please introduce yourself using the Commander's Self-
Introduction Form (Tab B) as a guide; please make some
remarks, such as your leadership style, how you plan to

manage the organization (decision process, span of control, roles, etc.), philosophy, etc.

0945-1015 -- EXPECTATIONS, SETTING UP GROUNDRULES (All)

In a brainstorm activity, the participants will be asked to state what they expect to get out of the meeting (what they want to achieve/avoid). (Examples: Achieve greater teamwork; to be open and honest in addressing the issues, etc.; avoid personality conflicts, etc.) This is an excellent time to observe the staff at work (who talks, who does not talk, who controls the group, etc.). Also, Groundrules for the effort will be set (e.g., open, honest, etc.). After this activity, the group will go to work addressing organizational-wide issues and concerns while you are back in your office.

1200-1330)-- LUNCH

Try to attend the luncheon as it promotes team building and enhances morale, etc.

1330-1530 -- REPORT OUT AND DISCUSSION OF UPCOMING ISSUES

After lunch, the group's spokesperson will present the issues identified (as a result of the morning's activities). You don't have to make any decisions on any of the issues presented. Of course, you make decisions on any items presented, it's your command. You may defer discussion of any issue, delete issues, modify issues; you may philosophize, directly answer questions, request that

certain issues be additionally staffed prior to any future action planning meeting(s), etc.

1540-1600 -- COMMANDER'S GOALS FOR THE ORGANIZATION/CLOSING
REMARKS

By this time, you have been presented issues (as a result of the morning's activities). Based on this information, or other information, it may be appropriate for you to verbalize your goals for the organization for the next six months. There may or may not be a discussion. Please indicate to the staff what you intend to do with the issues, to include if you so desire that an action planning session be held in the very near future to address some of the more critical issues presented. It is helpful to think for a week or so about the feasibility of the issues presented, etc. Thank you.

5. Participants Self-Introduction Form

1. I am (name) _____.
2. My title is _____.
3. My chief responsibility is _____.
4. The greatest challenge I have faced on the job is _____.
5. The achievement of which I am most proud is _____.
6. The most important thing that I can derive from this meeting is _____.

6. Commander's Self-Introduction Form

1. What is my management style?
2. What is my philosophy? What is my "Vision"?
3. What are my idiosyncracies?
4. What are my pet peeves?
5. What is my decision rhythm? (Fast/slow/gather everyone/make myself)
6. Answer questions raised by staff.

7. Transition Techniques

- * Develop clear image of future state
- * Identify/surface dissatisfaction with present state
- * Identify resistance/blocks
- * Use multiple leverage points for change--critical mass
- * Build consistency/congruence in changes
- * Provide for participation in change activities
- * Communicate purpose, outcomes, methods and resources of change
- * Provide time/opportunity to disengage from present state
- * Provide rewards for transition/future behavior
- * Involve/gain support of key power individuals/groups (stakeholders)
- * Create structure to manage transition state
- * Provide adequate resources to support change
- * Develop a change plan
- * Use appropriate transition devices
- * Build in evaluation

- * Identify/provide sources of stability
- * Attend to political dynamics

8. Transition Plan

What has to be changed?

- What is different for "old state"
- What do we need for "new state"

How to accomplish each change?

- Actions needed
- Who will do them
- Timing
- Coordination between events
- Feedback

9. Items for the Interviewer

Briefly describe to the interviewee who you are and where you are from. We provide assistance in addressing issues which contribute to overall improvement in organization effectiveness, leadership and management, and responsiveness to organization and individual needs).

State to the interviewee that we are conducting an organizational assessment through interview (open-ended) questions.

Stress confidentiality and anonymity. The information from the interviews will be submitted in aggregate or summary form to the Commander.

After interview, to expedite analysis of the data, please describe the three, four, etc., major themes (issues or concerns):

SAMPLE INTERVIEW QUESTIONS

What do you see as key areas of concern which require the admiral's attention?

What are your primary needs or expectations of the admiral?

How do you feel about the current and future readiness of this command?

What specific issues concerning your command need to be made known to the admiral?

What specific issues concerning your command require the admiral's attention?

Do you have any specific concerns or questions in regard to the reorganization?

How do you feel about the support provided by this command?

How could support of the admiral be improved?

What would you like to see accomplished during this workshop?

What is the single most important issue you'd like to see addressed during the workshop?

What issues or concerns are the highest priority at this time?

What kind of relationship do you desire to have with the admiral?

What do you require of the admiral in order to perform your duties as effectively as possible?

What do you see as the mission or purpose of your organization?

What do you see as the goals that have been established to fulfill the organization's mission?

What's going well? What are the strengths of the organization?

What's not going well? What are the weaknesses of the organization?

Do you have any changes/recommendations that would make this organization better, more effective?

Do you have any concerns about the new Commanding Officer?

Is there anything I haven't asked you that I should have?

10. Transition Workshop: First Questionnaire
(Administered Prior to Transition Workshop)

This questionnaire is designed to assist in evaluating the transition workshop and its effect on the change of command in the organization. It is the first of two such surveys that will be administered over the next six to eight weeks. This questionnaire is divided into two sections. Section I concerns the current state of certain key processes in the organization on the day it is administered. Section II concerns your expectations for the transition meeting. Please indicate your response to each statement by circling the appropriate number on the scale below the statement. The scale indicates your agreement or disagreement with the statement:

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE	SOMEWHAT DISAGREE		NEUTRAL			SOMEWHAT AGREE		STRONGLY AGREE		

Answer all questions for yourself without consideration for what you think others might hope to hear. If the results are to be useful, it is important that you respond to all statements in a thoughtful and frank manner. All responses will be treated anonymously. Thank you for your cooperation.

Section I Current Unit Status

1. The information I receive down through formal channels is generally accurate.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

2. I get all the information I need about what is going on in other sections of the unit.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

3. Decisions are made in this unit where the most adequate information is available?

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

4. Decisions are made in this unit after getting information from those actually doing the job.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

5. I recognize and understand the concerns and expectations which are important for this organization.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

6. I am aware of the strengths, concerns and limitations of my co-workers.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

7. I recognize and understand the concerns and expectations of my co-workers.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

8. I recognize and understand the concerns and expectations of my commander.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

9. I have a clear understanding of the major priorities and goals of this organization.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

10. My co-workers understand the major priorities of this organization.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

11. Work priorities are established in line with the unit's objectives.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

12. My commander and co-workers are aware of my concerns and expectations.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

13. This organization has a plan for the achievement of its stated goals.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

14. My co-workers work together as a team.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

Section II Transition Meeting

1. I understand the purpose of the Transition Meeting.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

2. I am confident that this meeting will help us to adjust to the new commander.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

3. I believe we could adjust to a new commander as quickly without a meeting like this.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

4. I want to be involved in the meeting.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

5. I believe the others designated to attend will want to be involved.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

6. I will be willing to openly discuss my real concerns about the change of command during the meeting.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

7. I believe others designated to attend will be willing to openly discuss their real concerns about the change of command during the workshop.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

8. I believe the workshop will result in a better understanding of the unit by the new commander.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

9. I believe the workshop will result in a better understanding of the new commander.

0	1	2	3	4	5	6	7	8	9	10
STRONGLY DISAGREE		SOMEWHAT DISAGREE		NEUTRAL		SOMEWHAT AGREE		STRONGLY AGREE		

11. Role Clarification Workshop

The purpose of the Commanding Officer/Executive Officer Role Clarification Workshop is to provide the participants with a shared understanding of the other's role, responsibilities, and goals for the unit in order to establish a firm foundation on which to establish communications throughout the command.

The workshop is designed to enhance the participants' ability to function as a cohesive team by stimulating communications around individual leadership style, job interrelationship, and unit objectives.

Agenda

- I. Introduction
- II. Self-disclosure exercise Part A: Individual Orientation
- III. Self-disclosure exercise Part B: Job Interrelationship
- IV. Self-disclosure exercise Part C: Organizational Focus
- V. Summary

Part A: Individual Orientation

1. The word that describes me as a person is _____.
2. The word that best describes me on the job is _____.
3. My chief strength as a person is _____.
4. My chief limitation as a person is _____.
5. The hardest thing I have to do is _____.

Part B: Job Interrelationship

1. How I see my job/responsibilities:
2. How I see your job/responsibilities:
3. Areas of responsibility we share:
4. Our major differences in areas of responsibility:
5. What I need from the CO/XO to effectively do my job:

Part C: Organizational Focus

1. What are the CO's primary goals for the unit?

2. What do you see as the main obstacle in achieving these goals?
3. What is currently being done to overcome this obstacle?
4. What is the XO's role in achieving these goals?

The personal and professional strength I bring to this job includes...

Areas in which I may need your assistance/support...

Things I like to do or be personally involved in on the job...

Things I tend to avoid doing or that I just don't enjoy...

I think the commanding officer's primary job responsibilities/activities should be...

The executive officer's primary job responsibilities/activities should be...

XI. CONCLUSIONS

At the inception, the purpose of this handbook was to alleviate confusion and answer questions about Organizational Development. The writing of this handbook has served that purpose. The author is no longer confused as to her potential for contributing to the discipline of OD. The questions about OD have been answered.

In retrospect, then, this handbook has fulfilled its purpose. However, it has done more. It has exceeded the outcome for which it was intended. For not only did the author learn more about OD, she learned more about herself as a human being. This entire endeavor marks a significant milestone in the author's personal growth. It signals an expansion of her world view and sense of self.

Although this page marks the end of a handbook, it by no means is the end of the author's search for knowledge about OD. It is a reaffirmation of her commitment to this discipline and its place in the Navy. The author believes that OD can make a genuine and valuable contribution to effectiveness and readiness in the military. The author will dedicate her energies towards achieving maximum effectiveness and readiness in the United States Navy.

This is only a beginning.

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